



## **PARTICIPANT HANDBOOK**

This Participant Handbook  
has been prepared for the participants of:

## **Komatsu Training Academy (RTO)**

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## Message from the General Manager

As General Manager of this organisation, I can assure participants that I fully support the implementation of all Quality, Management and Operational Functions articulated in this Participant Handbook. I will ensure the Komatsu Training Academy (KTA) team and I adhere to our underlying philosophy of Continuous Quality Improvement in all aspects of KTA's Operations. We welcome your input to ensure that our services meet your expectations.

This Participant Handbook provides the direction that informs and guides KTA towards the provision of best practice in Training Development, Management and Service Delivery. For KTA, it will facilitate compliance with the standards regulated by the Australian Skills Quality Authority. For clients of KTA, it will ensure that their investment in training provides the best possible training experience and outcomes.

Thank you for choosing KTA to deliver your training needs. We trust that this Participant Handbook will provide the information you need to proceed with your enrolment and successfully complete your training. Prior to enrolment in one of our courses, you will have an opportunity to discuss the information in this Participant Handbook with a member of the KTA team who will confirm that you have had a chance to consider this information. If you have any questions prior to enrolment or at any time in the future, please don't hesitate to contact myself or members of the team.

Sincerely,

*Janine Gurney*

### Komatsu Training Academy

General Manager – KTA:	Janine Gurney
National Training Manager – RTO:	Tracey Campbell
Telephone Number:	1300 390 377
Address:	453 Sherwood Road SHERWOOD QLD 4075
Inquiry email address:	admin@komatsulearning.com.au
RTO Registration Number:	90996

# OVERVIEW

## KOMATSU TRAINING ACADEMY OVERVIEW AND RTO REGULATORY FRAMEWORK

As a Registered Training Organisation, Komatsu Training Academy (KTA) is subject to the regulatory framework that governs the Australian Vocational Education and Training (VET) sector and protects both Registered Training Organisations (RTOs) and participant. The VET Quality Framework include the National Regulator Act 2011, and the Standard for RTO's 2015.

KTA is committed to providing supportive and positive outcomes from all services provided to our clients. All staff recognise the rights of learners and provide information, advice and support that are consistent with our code of conduct. At Komatsu Training Academy, we recognise that the first step in ensuring safe, productive and profitable work sites is to have plant operators and service technicians who can safely and competently operate and service their machines, then build on these core skills to develop into highly proficient professionals.

Operator and technician training courses available through KTA cover a variety of mining, construction and utility machines including backhoe/loaders, dozers, crushers, dump trucks, excavators (conventional and hybrid), graders and wheel loaders, as well as general systems and technologies.

In addition, KTA can develop and tailor any training program to suit customers' specific requirements. KTA is a Registered Training Organisation (RTO) specifically developed to assist our construction, quarry and mining customers by delivering nationally recognised and customised training where you need it – online, on-site, at customers' premises or at our own dedicated training facilities.

Our offerings include a mix of fully accredited courses and modules, along with purpose-designed operator, technical and management training. Our team of specialist, industry-qualified trainers deliver a broad spectrum of competency and skill-based development programs tailored to your business and targeted to meet your specific industry needs. These programs include leadership and management training, operator skill proficiency development and customised technical training.

No matter your training requirements, our courses will enhance your people's skills, building your management and workforce capabilities, competencies and proficiency – ensuring you are best equipped to handle the challenges facing the industries we operate within now and into the future.

KTA has a wide range of courses available for those working in the mining and construction industries. Learn 'hands-on' utilising the equipment and tools used in industry while combining working for your employer and studying at Komatsu's state of the art Training Academy (KTA). You will graduate with a nationally-recognised qualification.

### **The VET Quality Framework is comprised of:**

- Standards for Registered Training Organisations (RTOs) 2015
- Australian Qualifications Framework
- Fit and Proper Person Requirements 2011
- Financial Viability Risk Assessment Requirements 2011
- Data Provision Requirements 2012

## OVERVIEW OF KOMATSU TRAINING ACADEMY

KTA recognises the importance and benefits of combining Industry Experience with Tertiary Education when striving to deliver Programs of highest quality and relevance to the client. All Trainers and Assessors employed or contracted by KTA have demonstrated significant Industry experience in addition to obtaining Tertiary Qualifications, allowing them to provide a professional, well rounded learning environment for participants. Staff are equipped with the skills to ensure their teaching methods are suitable for all participant's, utilising simple language where appropriate to communicate information most effectively. KTA strictly adheres to the *Standards for Registered Training Organisations 2015* to continue delivering training services of the highest quality to their clients.

The CEO recognises that opportunities for improvement arise in every aspect of business and has developed an organisational culture within KTA to capitalise on these opportunities for improved practice. KTA supplies feedback forms to all participants at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, ensuring the ever-changing needs and expectations of clients are being met. The CEO also welcomes feedback from other improvement opportunities such as risk assessment, participant's suggestions, complaints and appeals, validation sessions and audit reports.

Participant feedback is critical to our continuous improvement policy. Along with the formal feedback mentioned earlier, participants are encouraged to give feedback throughout their enrolment.

To encourage and achieve continuous improvement based on the collection of the data, KTA has developed a best practice register which will include a written record of all improvement strategies.

### THE 'STUDENT JOURNEY'

Komatsu Training Academy's General Manager has identified the audit approach implemented by ASQA since June 2016. This represents a change to the traditional audit approach applied by regulators.

#### Key features include:

- greater use of risk analysis and intelligence to trigger audits ('proactive regulation')
- greater focus on the participants experience and RTO's practices and behaviours
- options for longer, standard or earlier notice periods
- scope of audit is flexible, based on intelligence and provider profile
- information used to inform audit drawn from a wider range of sources including intelligence from other government agencies
- greater participant input
- audit outcomes reported against the phases of the participants' experience.

#### Key phases of the 'participant experience' include:

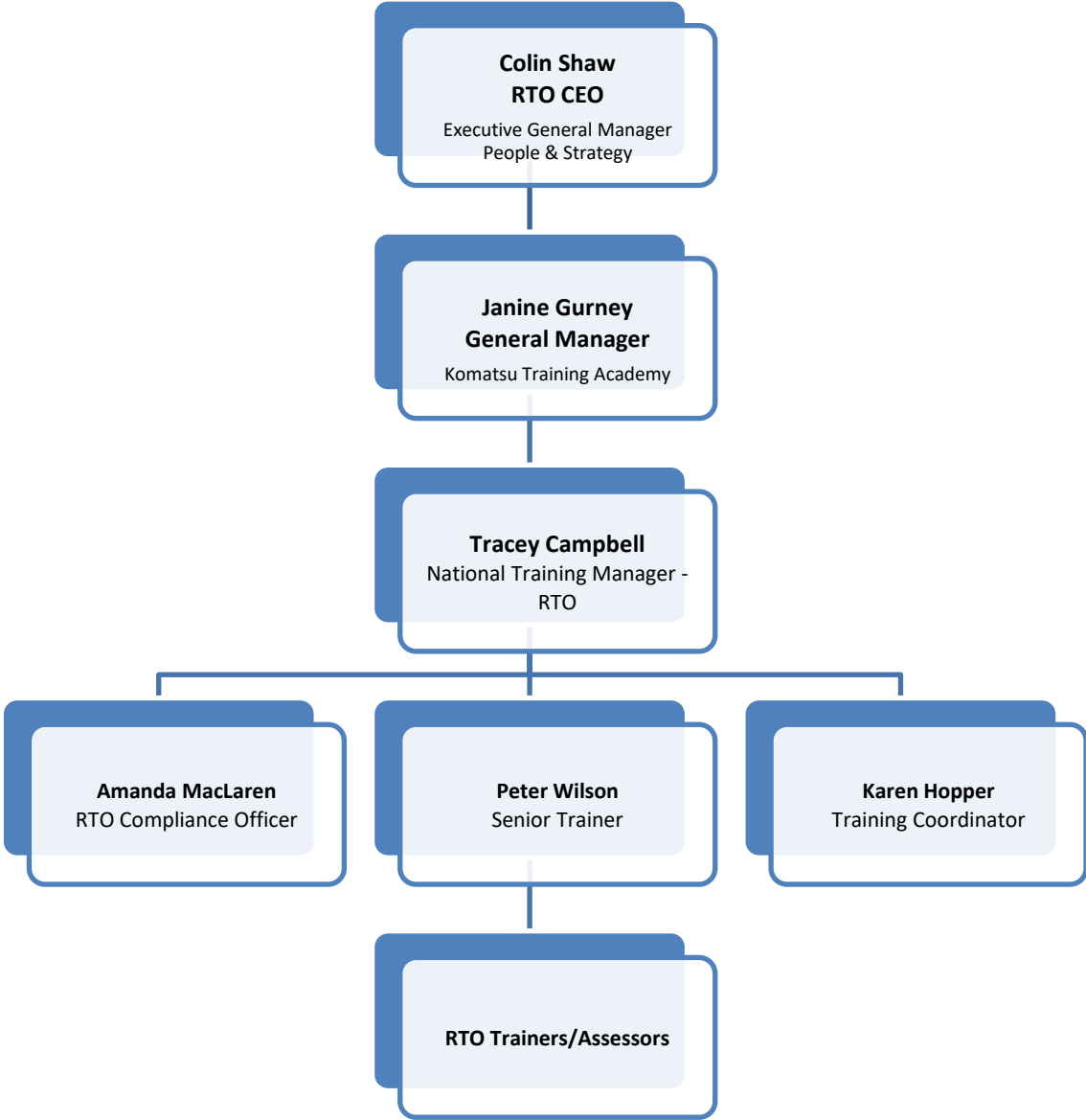
- marketing and recruitment
- enrolment
- support and progression
- training and assessment
- completion.

Throughout KTA's Participant Handbook, Quality Management and Operational Framework policies, systems and procedures support ASQA's audit model. Each staff member and in particular each Trainer and Assessor will ensure the participants experience will provide the best opportunity for a positive vocational outcome.

We sincerely hope your journey, as a participant with KTA will be most enjoyable.



# KTA ORGANISATIONAL STRUCTURE



This organisational chart illustrates the lines of communication between the Management and Trainers which ensures decision making which impacts on participants is informed by the experiences of Trainers and Assessors.

# KOMATSU TRAINING ACADEMY (KTA) COURSES

## What courses can I study with KTA?

Currently KTA is able to offer participants accredited training in the following:

### Qualifications:

- **AUR30316** – Certificate III in Automotive Electrical Technology
- **AUR31216** – Certificate III in Mobile Plant Technology
- **MEM30205** – Certificate III in Engineering - Mechanical Trade
- **MEM30219** – Certificate III in Engineering - Mechanical Trade
- **MEM30305** – Certificate III in Engineering - Fabrication Trade
- **MEM30319** – Certificate III in Engineering - Fabrication Trade
- **MEM30419** – Certificate III in Engineering – Fixed and Mobile Plant Mechanic
- **RII30815** – Certificate III in Civil Construction Plant Operations
- **BSB30115** – Certificate III in Business
- **BSB51918** – Diploma of Leadership and Management

### Units of competency:

- **CPCWHS1001** – Prepare to Work Safely in the Construction Industry
- **HLTAID001** – Provide Cardiopulmonary Resuscitation
- **HLTAID003** – Provide First Aid
- **RIISAM301E** – Test Operational Functions of Vehicles and Equipment
- **TLILIC0003** – Licence to Operate a Forklift Truck
- **UEENEEE101A** – Apply Occupational Health & Safety regulations, Codes & Practices in the Workplace
- **UEENEEP022A** – Disconnect and reconnect 3.3 kV Electric Propulsion Components of Self-Propelled Earth Moving Vehicles.
  - \*Pre-requisite unit: **UEENEEE101A** – Apply Occupational Health & Safety regulations, Codes & Practices in the Workplace
- **UETDRRF06** – Perform Rescue from a Live LV Panel
  - \*Pre-requisite unit: **HLTAID001** – Provide CPR

### Accredited Courses:

- **52844WA** – Course in Working Effectively in an Automated Workplace
- **52845WA** – Certificate II in Autonomous Workplace Operations
- **52851WA** – Certificate IV in Autonomous Control and Remote Operations

After you have met the requirements of your course, you will be issued the relevant Qualification with an academic transcript listing all the units of competency you have achieved. Nationally recognised qualifications are made up of individual units of competency. If you do not meet all of the course requirements but have completed the requirements for one (1) or more units of competency, you will be issued an AQF Statement of Attainment for the unit(s) you have completed.

### How is Training Delivered?

Training courses with KTA are delivered by:

- face to face classroom training
- workplace based training
- blended learning (combination of the above).

## How do I Enrol?

Enrolment is initiated by you contacting KTA. We will despatch to you by suitable means an enrolment form and literature on the course(s) being considered and any other relevant documentation. If pre-requisites are required you will be notified and the process explained prior to course commencement

All participants will receive:

- course brochure
- pre-course letter covering course information and requirements
- enrolment form
- participant handbook
- induction checklist to identify participant needs.

Further detail is provided in section on [Participant Selection and Enrolment Procedure](#) page 14.

## Our Trainers

KTA recognises the importance and benefits of combining industry experience with tertiary education when striving to deliver programs of highest quality and relevance to the client. All trainers and assessors employed by KTA have demonstrated significant industry experience in addition to obtaining tertiary qualifications, allowing them to provide a professional, well rounded learning environment for participants. Staff are equipped with the skills to ensure their teaching methods are suitable for all participants, utilising simple language where appropriate to communicate information most effectively. KTA strictly adheres to the ***Standards for Registered Training Organisations 2015*** to continue delivering training services of the highest quality to their clients. Further information can be found by accessing the following weblink: [Standards for Registered Training Organisations \(RTOs\) 2015](#)

## Our Approach

The CEO recognises that opportunities for improvement arise in every aspect of business and has developed an organisational culture within KTA to capitalise on these opportunities for improved practice. KTA supplies feedback forms to all participants at the end of each program, as participant feedback has been identified as an important and valuable factor in monitoring and developing business practices and quality training, ensuring the ever-changing needs and expectations of clients are being met. The CEO also welcomes feedback from other improvement opportunities such as risk assessment, participant suggestions, complaints and appeals, validation sessions and audit reports.

As a participant with KTA, your feedback is critical to our continuous improvement policy. Along with the formal feedback mentioned earlier, participants are encouraged to give feedback throughout their enrolment. In order to encourage and achieve continuous improvement based on the collection of the above-mentioned data, KTA has developed a best practice register which will include a written record of all improvement strategies.

## Participant Protection

It is the intention of the CEO of KTA that all participants will receive the full training services paid for at all times, including but not limited to training and assessment, assessment only, recognition of prior learning or short courses. The continuous improvement and quality management practices employed by KTA CEO and staff are designed to proactively identify any anomaly that might cause a business interruption or training failure and address this situation before any participants are affected.

The corporate structure, governance and financial management systems and processes guarantee the training for participants enrolled with KTA. This guarantee in no way ensures a successful qualification outcome. KTA will work with the affected participants to ensure their rights are protected. This may include but is not limited to:

- a pro-rata refund of course fees
- facilitating the transfer of the participant's study to another suitable RTO.

# PARTICIPANT SERVICES AND SUPPORT

## CLIENT FOCUS

KTA is committed to delivering high quality services that support participants throughout their training and assessment. This commitment is based on a client focused operation that produces the best possible outcome for participants. KTA will ensure participants are informed of the services they are to receive, their rights and obligations, and the responsibilities of the RTO. Participants who undertake training with KTA receive every opportunity to successfully complete their chosen training program. KTA will provide participants with information prior to commencement of services including any subcontracting arrangements affecting the delivery of training and/or assessment.

KTA takes a systematic approach to establish and recognise the needs of each client. It is a requirement that all staff members do their utmost to meet the needs of participants. Where a participant need is outside the scope or skill of the organisation they will be referred to an appropriate service or an alternate training organisation.

## PARTICIPANT ADVICE

KTA delivers specialised training and assessment services<sup>1</sup>. As such, it is vital that all participants are informed of and understand the extent of the training course that they are enrolling in. KTA has in place a process and mechanism to provide all clients information about the training, assessment and support services to be provided, and about their rights and obligations, prior to enrolment or entering into an agreement.

### In summary, KTA will provide:

- training programs and services that promote inclusion and are free from discrimination
- support services, training, assessment and training materials to meet the needs of a variety of individual participants
- consideration of each individual's needs to provide the best opportunity for skill development and attainment of qualifications that can lead to further training or employment
- Opportunity for consultation between staff and participants so that all aspects of individual circumstances can be taken into consideration when planning training programs
- consideration of the views of participants' community, government agencies and organisations, and industry when planning training programs
- access to information and course materials in a readily available, easily understood format
- information to assist participants in planning their pathway from school or the community to vocational education and training.

While KTA guarantees that all participants will receive the full training services paid for, it does not guarantee a participant will successfully complete the course in which they are enrolled or that the participant will obtain a particular employment outcome outside the control of KTA.

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<sup>1</sup> Services include:

- (a) Pre-enrolment materials;
- (b) Study support and study skills programs;
- (c) Language, Literacy and Numeracy (LLN) programs or referrals to these programs;
- (d) Equipment, resources and/or programs to increase access for students with disabilities;
- (e) Learning resource centres;
- (f) Mediation services or referrals to these services;
- (g) Flexible scheduling and delivery of training and assessment;
- (h) Counselling services or referrals to these services;
- (i) Information technology (IT) support;
- (j) Learning materials in alternative formats, for example, in large print; and
- (k) Learning and assessment programs customised to the workplace.

## **PARTICIPANT INFORMATION POLICY**

KTA will provide all relevant information and directions to each participant prior to enrolment as part of the participant induction to enable the participant to make informed decisions about undertaking training with KTA. This information will be clear and readily available in print or referral to an electronic copy. This will include details required to source the KTA Participant Handbook, available as PDF document via:

- <https://www.komatsu.com.au/support/komatsu-training-academy/training-support-documents>.

KTA will provide the following information specific to each participant:

- the code, title and currency of the AQF qualification, skill set or VET course to which the participant is to be enrolled, as published on the National Register the services the RTO will provide to the participant including the:
  - estimated duration of the services
  - expected locations at which the services will be provided
  - expected modes of delivery
  - name and contact details of any subcontractor which will provide training and assessment to the participant
- the participant's obligations including any requirements that KTA requires the participant to meet to enter and successfully complete their chosen AQF qualification, skill set or VET course
- any materials and equipment that the participant must provide; the educational and support services available to the participant

Where there are any changes to agreed services, KTA will advise the participant in writing and with a follow-up telephone call as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third-party arrangements if applicable.

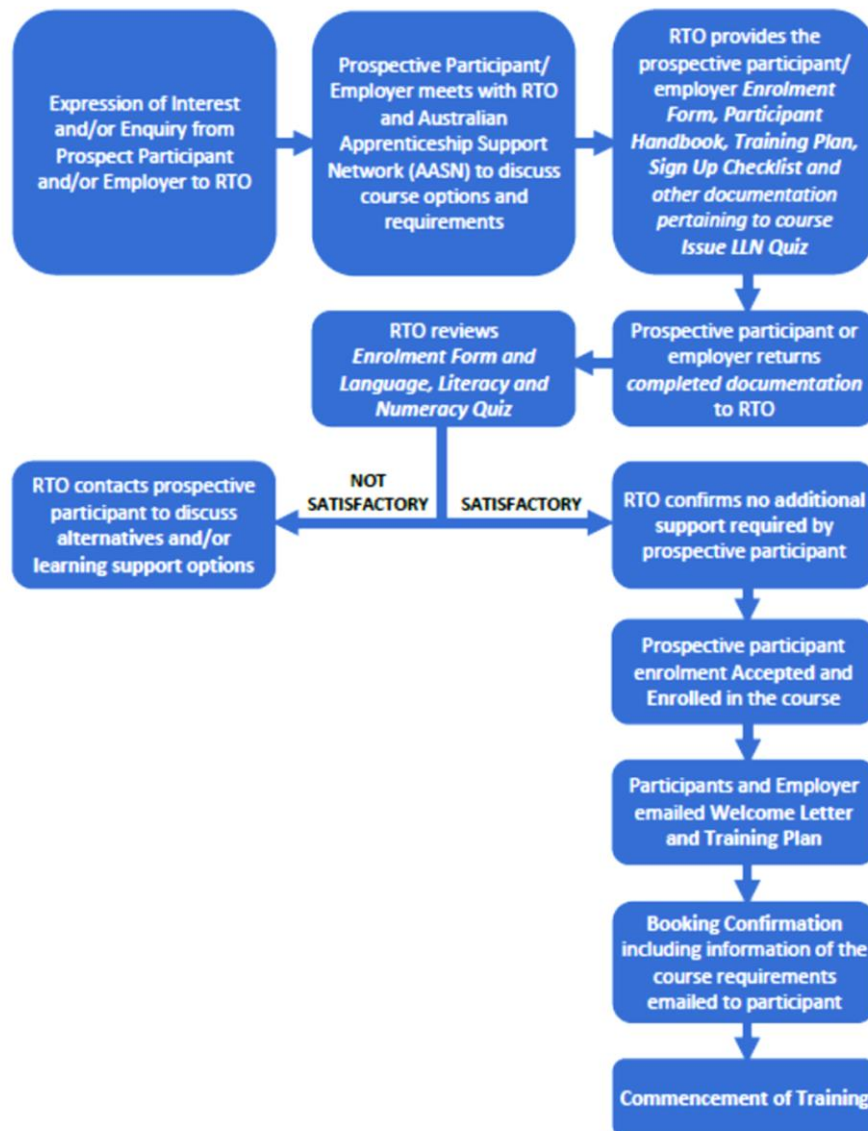
## **PARTICIPANT SELECTION AND ENROLMENT PROCEDURE**

### **Participant Selection**

Enrolment and admission into some KTA training programs is subject to meeting certain prerequisite conditions and/or entry requirements. Specific details of the prerequisites pertaining to these training programs are contained in individual course documentation and are made available prior to enrolment. In the case that a potential participant does not meet the prerequisite conditions and/or entry requirements, KTA staff will endeavour to assist them in understanding their options in regard to meeting the standards. Any questions regarding these arrangements can be addressed by trainers or KTA Management.

## Enrolment

### Komatsu Training Academy Enrolment Flow Chart Apprenticeships / Traineeships



The enrolment procedure commences when a participant contacts KTA expressing interest in a training program(s). KTA staff will respond by dispatching by suitable means an enrolment form, Participant Handbook, literature on the program(s) being considered and any other documentation which may be relevant.

Enrolment applications will then be assessed to ensure that the participant meets any prerequisites and/or entry requirements that have been set for the selected course. Participants will be informed of successful enrolment and sent information on the course and their course induction. Participants who do not meet the prerequisites for the selected course will be notified of their unsuccessful enrolment and invited to contact KTA to discuss their training needs and alternative opportunities.

## **Pre-enrolment Questionnaire**

A pre-enrolment questionnaire is provided to each participant. Questions are designed to identify the participant's needs, so KTA staff members can evaluate any requirements the participant may have to improve his/her learning experience and outcome.

The designated KTA staff member will receive and assess each participant's pre-enrolment questionnaire. Based on the information in the checklist, the enrolment form, interview, induction and any other relevant correspondence and conversation, KTA staff and management may offer additional support.

Examples of the support services may include:

- study support and study skills programs
- language, literacy and numeracy (LL&N) programs or referrals to appropriate programs
- equipment, resources and/or programs to increase access for participants with disabilities
- learning resource centres
- mediation services or referral to appropriate services
- flexible scheduling and delivery of training and assessment
- counselling services or referral to appropriate services
- information technology support
- Learning materials in alternative formats i.e. large print
- learning and assessment programs customised to the workplace

## **Pre-course Letter**

As an additional support to enrolling participants, KTA will send a pre-course letter to the participant prior to the commencement of training. Information includes the time, date and location of training, the resources the participant should bring to the course and overview of the units of competency to be studied and the format/style of training to be provided.

## **Induction**

On successful completion of the enrolment process, all participants will undergo an induction program which will cover:

- confirmation of the Accredited Course being delivered, including participant documentation and other information relevant to specific Course being enrolled in
- introduction to relevant key members of KTA Training Staff
- outline of the participant, employer and RTO responsibilities
- overview of KTA facilities
- eligibility criteria explained and confirmed
- aptitude to take verbal instruction
- enrolment form completed
- RPL and credit transfer process (if applicable)
- records of previous training - Statements of attainment collected (if any)
- LLN explained and conducted
- Guardians' roles and responsibilities (if under 18 years old)
- PPE requirements (where required)
- classroom attendance and absenteeism expectations
- quality indicator surveys
- employer Verification (supervisory arrangements)
- facilities and range of work identified
- ascertain best contact number and email address of supervisor
- participant contribution fees (if applicable)

- timing and collection of invoicing for associated fees
- exemptions and concessions (if applicable)
- concession documents copied and retained (if applicable)
- Participant Handbook explained
- refund policy explained (in Participant Handbook)
- training record book explained
- training plan explained
- expected training delivery dates discussed
- workplace visits explained
- training plan declaration signed and dated by all parties
- training and assessment methodologies being used in their specific course which will include timeframes for assessment
- random drug and alcohol testing
- outline of traineeship/apprenticeship requirements, if you are undertaking the study as part of a traineeship/apprenticeship
- overview of the support services offered by KTA, especially for those participants who might require additional language, literacy or numeracy support
- explanation of the appeals and complaints procedures
- career and AQF pathways available to participants.

## **PARTICIPANT SUPPORT**

KTA will make all reasonable effort and utilise a variety of available methods to assist all participants in their efforts to complete training programs. KTA will determine the support needs of individual participants and provides access to the educational and support services necessary for the individual participant to meet the requirements of the AQF qualification, skill set, or VET course as specified in training packages or VET accredited courses. KTA will continue to develop strategies to make support available where gaps are identified. KTA can be contacted via their website or directly as per below:

### **Contact us**

Komatsu Training Academy

Phone: 1300 390 377

Email: [admin@komatsulearning.com](mailto:admin@komatsulearning.com)

Support provided by KTA may include specific requests such as:

- what the enrolled participant should do if they want to defer or discontinue their training
- how to access support and assistance during their training (if required)
- contact details for various types of specialised support services e.g. Interpreter services

Trainers are responsible for ensuring that all participants are aware they can contact their trainer or other KTA staff members if they are experiencing difficulties with any aspect of their studies. Staff will ensure participants have access to the full resources of KTA to assist them in achieving the required level of competency in all nationally recognised qualifications.

If a participant is experiencing personal difficulties, training staff will encourage the participant to contact KTA who will provide discreet, personalised and confidential assistance as according to the nature of the difficulties.



If a participant's needs exceed the capacity of the support services KTA can offer, they will be referred to an appropriate external agency. Extensive information regarding support agencies, resources and services may be sourced online. KTA staff members will assist participants to source the appropriate type and level of support in each participant's State depending upon their specific needs.

Some examples of specialist support agencies KTA has engaged include:

<b>EAP</b>	Employee Assistance Program: Hunterlink National ph: 1800 554 654
<b>Reach Out</b>	Reach Out helps supports people with issues such as drug taking, alcohol, gambling or gaming addiction <a href="http://au.reachout.com/tough-times/addiction">http://au.reachout.com/tough-times/addiction</a> as well as other issues such as surrounding how to cope with stress and depression etc. <a href="http://au.reachout.com">http://au.reachout.com</a>
<b>Counselling Online</b>	Counselling Online is a free 24/7 drug and alcohol counselling service that supports people affected by alcohol and drugs. For any drug and alcohol-related queries there is email support or phone counsellors available. For support in each State contact the National Alcohol and Other Drug Hotline on 1800 250 015 <a href="http://www.counsellingonline.org.au/contact-us">http://www.counsellingonline.org.au/contact-us</a>
<b>Head Space</b>	eheadspace is an online and telephone service which supports young people aged between 12- 25 and their families going through a tough time. There is help in person at headspace centres located in each State. Ph: 1800 650 890 <a href="http://www.eheadspace.org.au/contact-us">http://www.eheadspace.org.au/contact-us</a>
<b>Counselling services</b>	referral to appropriate 24/7 services such as: Beyond Blue ph: 1300 224 636 <a href="http://www.beyondblue.org.au">http://www.beyondblue.org.au</a> Lifeline ph: 13 11 14 <a href="http://www.lifeline.org.au">http://www.lifeline.org.au</a>
<b>Reading and Writing Hotline</b>	<a href="http://www.readingwritinghotline.edu.au/information-and-advice">www.readingwritinghotline.edu.au/information-and-advice</a> ph: 1300 655 506. In addition, there are also numerous adult reading / writing apps for smart phones/tablets aimed at supporting literacy.
<b>LLN Training Courses provided by local TAFE Colleges</b>	These institutes have specialist LLN Teachers and Services to support individual participants own level of development and can be accessed via a Google Search of local TAFEs and LLN specialist course availability.

### **Flexible Delivery and Assessment Procedures**

KTA recognises that some people are better suited to learning via teaching methods not usually obtained in the traditional classroom setting. With some minor adjustments to teaching and assessment methods, a participant who is experiencing difficulty learning and achieving the desired results in the traditional setting may show considerable improvements with a more customised flexible delivery approach.

The staff and management of KTA respect these differences among participants and will endeavour to make any necessary adjustments to their methods in order to meet the needs of a variety of participants. For example, the inability to complete a written assessment will not be interpreted as a sign of incompetence, provided the participant can verbally demonstrate competency.

Acceptable adjustments to teaching and assessment methods may include but are not limited to; having a trainer read assessment materials to participants, having a participant's spoken responses to assessment questions recorded or allowing a participant to sit for an assessment alone in a different room. KTA staff will pursue any reasonable means within their ability to assist participants in achieving the required competency standards. In the event that a participant's needs exceed the capacity of the support services KTA can offer, they will be referred to an appropriate external agency.

## **Reasonable Adjustment**

Reasonable adjustment means adjustments that can be made to the way in which evidence of participant performance can be collected. Whilst reasonable adjustments can be made in terms of the way in which evidence of performance is gathered, the evidence criteria for making competent/not yet competent decisions (and/or awarding grades) should not be altered in any way. That is, the standards expected should be the same irrespective of the group and/or individual being assessed; otherwise comparability of standards will be compromised.

## **ACCESS AND EQUITY**

KTA is committed to practicing fairness and providing an equal opportunity for all current and potential participants to access and participate in learning, and to achieve their learning outcomes regardless of age, gender, cultural or ethnic background, disability, sexuality, language skills, literacy or numeracy level, unemployment, imprisonment or remote location that may present a barrier to access, or any other perceived difference in class or category. KTA ensures that its practices are as inclusive as possible and do not unreasonably prevent any clients from accessing its services. KTA will address access and equity matters as a nominated part of operational duties.

If a participant identifies with one or more of the following priority groups, he/she may be able to receive additional assistance:

- Aboriginal and/or Torres Strait Islander people
- Carers of people who are ill, aged or who have a disability
- People with a disability
- Women and girls who are returning to education and training
- Women and girls who are seeking training opportunities in non-traditional roles
- Young people aged 15 to 25
- Australian South Sea Islanders
- Parental job seekers
- People with English language, literacy and numeracy needs
- Mature aged workers who require up skilling
- Long term unemployed and disadvantaged jobseekers
- People from different cultural and ethnic backgrounds
- People who speak a language other than English

KTA has developed this quality management and operational framework to guide and inform all staff and participants in their obligations regarding access and equity. Upon induction into KTA, all staff is provided with copies of the policies which they must adhere to throughout all their operations as an KTA staff member. Participants are made aware of the access and equity policy via the KTA Participant Handbook and informed of their rights to receive access and equity support and to request further information.

KTA access and equity policies are in place to ensure that training opportunities are offered to all people on an equal and fair basis in all circumstances, irrespective of their gender, culture, linguistic background, race, socio-economic background, disability, age, marital status, pregnancy, sexual orientation or carer's responsibilities.

Practicing these policies will guarantee that any participant who meets KTA entry requirements will be accepted into any training programs. If any participant or staff member have issues or questions regarding access and equity, or believes they have been treated unfairly, they will be directed to KTA management for consultation.

## LANGUAGE, LITERACY AND NUMERACY ASSISTANCE

KTA course information and learning materials contain written documentation and in some cases, numerical calculations.

KTA recognises that not all participants will have the same level of ability in relation to reading, writing and performing calculations. All participants enrolling into a nationally recognised qualification will undertake a Language, Literacy and Numeracy Quiz (LLN), which is conducted online via LLN robot. LLN Robot is an online system that combines ACSF Testing, Course Profiling and LLN Support.

A LLN Quiz will be provided to assess the participant's ability prior to enrolment. This process is to ensure that all participants who commence a training program possess the skills required to understand the presented material and complete assessments.

Participants must satisfactorily complete Komatsu Training Academy's LLN Quiz to a minimum of the following standards aligned with the Australian Core Skills Framework (ACSF):

- Learning – ACSF Level 3
- Reading – ACSF Level 3
- Writing – ACSF Level 3
- Oral Communication – ACSF Level 3
- Numeracy – ACSF Level 3

It is important that all participants undertake the LLN quiz to identify any LLN support which the participant may require.

The Training Coordinator will enrol the participant into their nominated course via our participant management system aXcelerate in order to verify the participants USI and register them into the LLN Quiz via <https://komatsu.lln.training/login>. An email titled 'Quiz for your enrolment at Komatsu Training Academy' is then auto generated to the registered participant from [system@komatsu.com.au](mailto:system@komatsu.com.au).

For example:



Dear NAME,

As part of your course enrolment at Komatsu Training Academy we would like you to complete a short online quiz, so we can understand your current levels of language, literacy and numeracy and then, if required, tailor your training to suit your needs.

Please click on the link below to start the online quiz:

[Link to Quiz](#)

If the above link does not work please copy and paste this URL into your Internet browser:  
<https://komatsu.quiz.lln.training/?invite=390d2b57-a9b4-4c50-8414-1a1c641e8411>

Note: Please access the Quiz using the latest version of Google Chrome.

If you have any questions, please email [admin@komatsulearning.com.au](mailto:admin@komatsulearning.com.au) and someone will respond as soon as possible.

Regards

Komatsu Training Academy

KTA will endeavour to provide the necessary assistance to any participant who is having difficulty with language, literacy or numeracy to accommodate their needs. If a participant's needs exceed the ability of KTA staff to assist, the participant will be referred to an external support agency, so they have the opportunity to obtain the skills and necessary support required to complete the training program.

## CODE OF CONDUCT

KTA makes every effort to practice cooperation and mutual respect in all internal and external dealings to uphold high quality, professional training and assessment services. The same disciplined behaviour is expected of participants as a contribution to a functional learning environment, and as a sign of respect to staff and fellow participants.

### Professional Behaviour

KTA Management advises any trainer or staff member who is dissatisfied with the behaviour or performance of a participant that they have the authority to:

- warn the participant that their behaviour is unsuitable, or
- ask a participant to leave the class, without refund or acceptance into another course, or
- immediately cancel the class.

If a participant wishes to object or lodge an appeal against the disciplinary action taken, they have the right and opportunity to follow the KTA complaint procedure.

KTA staff are expected to maintain a professional and ethical working relationship with all other staff members, management and participants. Breaches of the disciplinary standards will result in discussion between the relevant trainer and KTA, and appropriate action will be taken.

## Plagiarism

### Definition<sup>2</sup>

Plagiarism is the "wrongful appropriation" and "purloining and publication" of another author's "language, thoughts, ideas or expressions," and the representation of them as one's own original work.

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<sup>2</sup> From [www.wikipedia.org](http://www.wikipedia.org)

## Policy

Plagiarism is considered academic dishonesty and a breach of journalistic ethics. It is subject to serious sanctions such as expulsion. It is quite reasonable to research material in the course of undertaking assessment. All sources, however, must be clearly referenced. KTA 's CEO takes a very strict approach to plagiarism and proven incidents will not be tolerated.

# FEE INFORMATION

## FEES AND CHARGES

KTA operates as a 'fee for service' and PQS training business. This means all training programs will attract fees. All fees will be paid in accordance with the fee structure unless prior arrangements are made with KTA management.

Fee information is available via:

- KTA program brochures and promotional material
- KTA website links
- direct email from KTA administration team

Each of these information streams clearly identifies all fees and charges, including optional charges such as Recognition of Prior Learning (RPL) fees, and will be updated regularly so that both KTA and our clients will be protected.

KTA will provide the following fee information, to each participant:

- the total amount of all fees including course fees, administration fees, materials fees and any other charges
- payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee
- the nature of the Participant Protection offered by the RTO to complete the training and/or assessment once the participant has commenced study in their chosen qualification or course
- the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to participants who are deemed not yet competent on completion of training and assessment and
- the RTO's refund policy.

## FEE STRUCTURE

### FEE FOR SERVICE PARTICIPANTS – QUALIFICATIONS

Each qualification offered by KTA has a specific course fee. The course fee is the maximum fee that may be charged to the participant for their selected training program.

Our policy of a staged, progressive payment schedule is intended to provide fair and equitable training and assessment services. The participant will pay for training and assessment services as they are provided. It is KTA's policy that the course fee will be *all-inclusive*. Participants will not be 'surprised' by unexpected requirements, fees or expenses.

Where additional resources normally associated with a program of study are required (for example; reference material, research documents, own computer) participants will be clearly advised of exactly what is required in the participant study guide for that program.

## Payment Schedule – Qualifications

KTA's policy is to make taking part in quality training and assessment accessible and affordable. Our payment schedule asks participants to make equal payments across the duration of the training program. As a simple and obvious means to keep track of the participant's payments, the payment schedule is structured around the face to face training days.

For specific information relating to fees for individual State contracts (eg. QLD/NSW/WA) please refer to the further detail and relevant government weblinks in the oncoming pages under Apprenticeships and Traineeship Contracts.

## Payment in Advance

Participants will be asked to pay \$500 in advance to confirm their enrolment into the course.

KTA has developed a payment schedule that extends across the duration of the training program.

- a total of 12 payments will be scheduled across the duration of the training program
- where the training program is one (1) year duration, a payment will be made every four (4) weeks
- the amount of each payment will equally divide the course fee.

*For example:*

\$4,300 - \$500 = \$3,800

Then \$3,800 divided into 12 payments = \$316.66

<b>Recognition of Prior Learning (RPL)</b>	<b>Fee</b> <b>\$3,000</b>
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KTA has developed a payment schedule for RPL that will not ask for more than \$1500 at any time prior to the service being delivered.

- |  |         |
|--|---------|
| • RPL enrolment and application completed                              | \$1,500 |
| • RPL applicant collates, prepares and submits their RPL evidence      |         |
| • Assessor assesses the evidence and provides feedback                 | \$1,500 |
| • RPL assessment completed and (where applicable) certification issued |         |

## Duration – 8 weeks

To ensure fluid and seamless administration, KTA will discuss a payment method with the participant. They may choose:

- cash
- schedule credit card payment
- EFT transfer

After paying \$500 in advance to secure their place, participants will be asked to make a payment on the first scheduled face to face training day.

At this point the participants will have:

- taken part in the pre-enrolment questionnaire
- completed LLN Quiz
- completed the Enrolment Form
- provided their USI
- received their Pre-Course Letter.

The participants will be provided with:

- the first training day of the course, induction etc
- cloud assess login details
- learning and assessment material
- course text books (if applicable)

- participant study schedule
- other relevant support materials.

The payment schedule used by KTA ensures participants receive the training and assessment services they have paid for.

## **CORPORATE CLIENTS – QUALIFICATIONS**

### **Payment**

KTA operates with several corporate clients in the mining and construction industries. This means the employer or agency will manage the payment in negotiation with KTA.

The payment schedule for corporate clients will be invoiced in arrears.

### **Fee for Service – Short Courses**

Each short course offered by KTA has a specific course fee. The course fee is the maximum fee that may be charged to the participant for their selected training program.

It is KTA's policy that the course fee will be *all-inclusive*. Participants will not be 'surprised' by unexpected requirements, fees or expenses.

Participants will be advised of their course fees prior to enrolment.

Participants will be asked to pay for their nominated course fee upon enrolment. This payment confirms their enrolment into the course. If participants cancel from a course prior to the course commencing KTA's refund policy & procedure will apply.

## **OTHER FEES**

### **Withdrawal Fee**

No withdrawal fee is applicable.

### **Re-submit Fee**

No re-submit fee applies.

### **Re-assessment Fee**

No re-assessment fee applies.

### **Partial Completion - Statement of Attainment**

No fee applies to produce a statement of attainment when the participant has partially completed the training program and must withdraw.

### **Re-print Certification**

Where the participant requests a new copy of his/her certification, the following fees apply:

- Statement of attainment \$25.00 + GST
- Qualification (with academic transcript) \$40.00 + GST

### **Contact us**

Komatsu training Academy

Phone: 1300 390 377

Email: admin@komatsulearning.com

## **Methods of Payment**

Participants may make payments to KTA by any of the following means:

- cash
- cheque/money order
- credit card (MasterCard and VISA only)
- EFT direct deposit

## **GST**

All Nationally Recognised Qualifications, Accredited Courses and Units of Competency delivered by KTA are GST-Free in accordance with the Australian Taxation Office GST Rulings GSTR 2000/27, GSTR 2001/1 and GSTR 2003/1.

## **PAYMENT RECEIPTS**

A tax invoice/receipt will be issued for all payments.

## **Refunds**

KTA will protect fees paid in advance and has a fair and reasonable refund policy.

Information provided prior to enrolment or the commencement of training and assessment, whichever comes first, specifies the participants' rights as a consumer, including but not limited to any statutory cooling-off period (where applicable) and the participants right to obtain a refund for services not provided by the KTA in the event the:

- arrangement is terminated early, or
- KTA fails to provide the agreed services.

## **Fee For Service (FFS) Refund**

### **Prior to Commencing Training – Qualifications and Short Courses**

An application for a refund is addressed according to the amount of notice given by the person making the request:

- 14 days prior to the commencement of the course – 100% refund
- less than 13 days prior to the commencement of the course – 50% refund
- withdrawal during the course – no refund. A pro-rata credit is available, so the participant can complete the course at a later date.

## **Corporate Clients**

Any refund of course fees will be negotiated between KTA and the employer or agency. A fair and equitable refund policy will apply.

## **PROTECTING FEES**

KTA will ensure that participants prepaid fees (including enrolment fees, tuition fees, materials fees and any other fee component that is a mandatory payment for the course) are protected in an appropriate manner.

KTA will not collect more than \$1500 in advance. Where less than \$1,500 is collected prior to the commencement of training or where the total course fee is less than \$1,500, a fee protection process is not required. These fees are paid by/charged to the participant, a government agency or the participants employer.



### **Protecting Participants who do not prepay in advance**

Where fees are not collected in advance from individual participants i.e. invoice in arrears, KTA will send each client/participant an invoice after training is completed.

### **Protecting Participants where course fees are less than \$1500**

The corporate structure, governance and financial management systems and processes guarantee the training for participants enrolled with KTA. Specifically, the integrity, business experience and training expertise of the CEO ensure continuity of training and completion of training is guaranteed for all participants. Participants training is further protected by KTA's financial management policy and procedure. Fees paid in advance are not transferred to the operating account until training commences.

### **Third Party Training (Third Party Service Arrangements)**

Where applicable, KTA's Participant Protection extends to training partners and training conducted by a third party on behalf of the RTO. KTA currently has two Third Party Service Arrangements in place.

Halls Head College (WA) for the delivery of training and/or assessment BSB30115 Certificate III in Business Orbus3 (RTO 40761) for the delivery of training and/or assessment for RII30815 Certificate III in Civil Construction in Plant Operations in NSW within the Illawarra Region. This will be workplace and mixed mode delivery with Orbus3 trainers based in the ACT.

## **TRAINING AND ASSESSMENT**

KTA is committed to delivering high quality training and assessment services that exceed the expectations of their participants. To ensure this, KTA has implemented processes for data collection and analysis within its operations that ensure the continuous improvement of training and assessment. In order to provide high quality outcomes to their clients and participants, KTA ensures that strategies for training and assessment are developed with effective consultation with industry and stakeholders.

### **PRINCIPLES OF TRAINING AND ASSESSMENT**

Training and assessment strategies developed by KTA will adhere to the following principles:

- training and assessment strategies are developed for each qualification/unit of competency that will be delivered and assessed
- all training programs will require the development of a training and assessment strategy for full and partial completion of a qualification
- each training and assessment strategy will be developed in consultation with industry representatives, trainers, assessors and key stakeholders
- training and assessment strategies will reflect the requirements of the relevant training package and will identify target groups
- training and assessment strategies will be validated annually through the internal review procedures.

KTA will apply the Principles of Assessment and the Rules of Evidence as outlined in detail below:

#### Principles of Assessment

To ensure quality outcomes, assessment should be:

- fair
- flexible
- valid
- reliable

**Fair**

Fairness in assessment requires consideration of the individual participants needs and characteristics, and any reasonable adjustments that need to be applied to take account of them. It requires clear communication between the assessor and the participant to ensure that the participant is fully informed about, understands and is able to participate in the assessment process, and agrees that the process is appropriate. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be re-assessed if necessary.

**Flexible**

To be flexible, assessment should reflect the participants needs; provide for recognition of competencies no matter how, where or when they have been acquired; draw on a range of methods appropriate to the context, competency and the participant; and support continuous competency development.

**Valid**

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- assessment against the units of competency must cover the broad range of skills
- knowledge that are essential to competent performance
- assessment of knowledge and skills must be integrated with their practical application
- judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency.

**Reliable**

Reliability refers to the degree to which evidence presented for assessment is consistently interpreted and results are consistent with assessment outcomes. Reliability requires the assessor to have the essential competencies in assessment and relevant vocational competencies (or to assess in conjunction with someone who has the vocational competencies). It can only be achieved when assessors share a common interpretation of the assessment requirements of the unit(s) being assessed.

**Rules of Evidence**

These are closely related to the principles of assessment and provide guidance on the collection of evidence to ensure that it is:

- valid
- sufficient
- authentic
- current

**Valid**

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that:

- assessment against the units of competency must cover the broad range of skills
- knowledge that are essential to competent performance
- assessment of knowledge and skills must be integrated with their practical application
- judgement of competence must be based on sufficient evidence (that is, evidence gathered on a number of occasions and in a range of contexts using different assessment methods). The specific evidence requirements of each unit of competency provide advice on sufficiency

### **Sufficient**

Sufficiency relates to the quality and quantity of evidence assessed. It requires collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. Supplementary sources of evidence may be necessary. The specific evidence requirements of each unit of competency provide advice on sufficiency.

### **Authentic**

To accept evidence as authentic, an assessor must be assured that the evidence presented for assessment is the participants own work.

### **Current**

In assessment, currency relates to the age of the evidence presented by a participant to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence collected must be from either the present or the very recent past.

## **ASSESSMENT POLICY**

KTA acknowledges the critical role that assessment plays in determining the competency of participants. In developing the assessment (including RPL) for each qualification and unit of competence, the CEO will ensure:

- compliance with the assessment guidelines from the relevant training package, qualification and unit of competence of accredited course
- assessment leads to a qualification or statement of attainment under the Australian Qualifications Framework (AQF)
- assessment complies with the principles of competency-based assessment and informs the participant of the purpose and context of the assessment
- the rules of evidence guide the collection of evidence to support the principles of validity and reliability
- the application of knowledge and skills is relevant to the standard expected in the workplace, including skills for managing work tasks, contingencies and the job environment
- timely and appropriate feedback is given to participants
- assessment complies with KTA's access and equity policy
- all participants have access to re-assessment on appeal.

KTA implements an assessment system that ensures that assessment (including Recognition of Prior Learning) complies with the assessment requirements of the relevant training package or VET accredited course. KTA recognises that each unit of competency contains assessment requirements relating to; performance evidence, knowledge evidence and assessment conditions.

## **CONNECTING TRAINING AND ASSESSMENT WITH INDUSTRY**

### **Industry Engagement**

***“Training and assessment practices are relevant to the needs of industry and informed by industry engagement.”***

All aspects of KTA training and assessment are informed by meaningful industry engagement. To maximise the outcomes for participants, KTA ensures that every opportunity to connect training and assessment with the workplace is utilised. Opportunities will be developed in consultation with the relevant industry personnel and responsibilities clearly communicated to all involved.

To identify a range of delivery and assessment methods that meet a variety of needs, an ongoing schedule of industry liaison and consultation will be adhered to. These consultations will be documented with meetings and memorandums acknowledged by those industry and enterprise representatives involved in consultation relating to the development and ongoing review of assessment strategies. KTA will:

- involve industry personnel in planning training programs, where they are relevant to the training and assessment program
- ensure that the training and assessment program makes full use of opportunities presented by industry
- consult with industry personnel in the development of workplace training and assessment processes
- monitor the participants' progress.

Information from industry stakeholders is used to continuously improve training and assessment. A number of programs that engage employers or other stakeholders who contribute to each participant's training, assessment and support services to meet their individual needs are available. In addition, KTA utilises industry engagement to inform the currency of trainers and assessors industry skills.

## **APPRENTICESHIP AND TRAINEESHIP STATE CONTRACT INFORMATION**

KTA recognises that Apprenticeships and Traineeships are the perfect vehicle for training and developing new and existing staff. Because much of the training is in the workplace, the skills an Apprentice or Trainee acquires are customised to the specific needs of an organisation. Furthermore, Employers may be eligible for various government financial incentives to assist with employing an Apprentice or Trainee (based on various and specific eligibility criteria) which will be discussed prior to enrolment and sign-up.

The programs provide the flexibility for apprentices, trainees and their employers to select a preferred registered training organisation (RTO) from a list of pre-qualified suppliers for the delivery of nationally recognised, accredited training to meet their specific needs. The program works in conjunction with the Commonwealth Australian Apprenticeships System, under which apprentices and trainees (also known in some jurisdictions as "Australian Apprentices") enter into legally binding training contracts with their employers and receive structured training to achieve a nationally recognised qualification.

## **QUEENSLAND**

### **Skills Assure Supplier (SAS) Agreement - User Choice Contract with DESBT**

KTA provides nationally recognised training packages in Queensland for Apprenticeships and is currently an approved PQS supplier. Under a Skills Assure Supplier Agreement (User Choice contract) with the Department of Employment, Small Business and Training (DESBT). Komatsu services the construction, transport and mining industries providing flexible, timely and efficient training packages in mobile plant and civil construction.

**The Skills Assure Supplier (SAS) program provides a public funding contribution towards the cost of training and assessment for eligible apprentices and trainees.** In most cases the Queensland Government meets the cost of training; this means that neither the employer nor the apprentice pay for the training component of the Apprenticeship or Traineeship. However, you may be required to pay a minimal student contribution fee determined on an individual basis.

### **KTA QLD Approved Apprenticeships:**

- **AUR30316:** Certificate III in Automotive Electrical Technology
- **AUR31216:** Certificate III in Mobile Plant Technology
- **MEM30205:** Certificate III in Engineering – Mechanical Trade
- **MEM30305:** Certificate III in Engineering – Fabrication Trade
- **RII30815:** Certificate III in Civil Construction Plant Operations *\*Not on National Skills Needs List - Federal Government Incentives only paid on candidates meeting 'New Entrant' criteria*

### **Student 'Co-Contribution' Fees:**

The student 'co-contribution fee' is currently set at \$1.60 per nominal hour. This varies depending upon the qualification and the chosen electives. Employers may choose to cover this cost on behalf of their employees. This will be clearly identified by KTA at the time of enrolment and agreed to in writing as to who will be paying the fees, when the fees due and how they are calculated.

Note: Fees relating to training will vary depending on whether you have already completed a post school qualification. Apprentices can only complete a maximum of two government funded qualifications under the current User Choice program. If an apprentice is over 21 years of age at the time of their enrolment, student contribution fees will apply. Students with prior Qualifications and/or Statement of Attainment may be eligible for Credit Transfer.

### **Fee -Free Apprenticeship Training for Under 21<sup>st</sup> Program:**

To be eligible for the 'Fee – Free Apprenticeships for Under 21s Program' initiative where participants need to be 21 or under as of 1<sup>st</sup> July 2019, if so then no Student Co-Contribution Fees will apply. Under the Queensland Government fee-free apprenticeship initiative, the Queensland Government will cover the full cost of training for apprentices, under the age of 21, who commence or are undertaking a priority apprenticeship qualification from 1 July 2019 to 30 June 2023. For eligible apprentices there will be no requirement to pay the fee. Further information can be accessed via the links below:

- ✓ [QLD Fee Free Apprenticeship Information](#)
- ✓ [Free Apprenticeships for under 21s - Information for Training Providers](#)

### **Incentives for Employers:**

New Entrant Trainee and New Entrant & Existing worker Apprentices are fully exempt from the 4.75 % Payroll Tax. Additional bonus rebate: can also claim a payroll tax rebate that reduces payroll tax amount for the liability (periodic, annual or final return) of 50% on Trainee/Apprentices and wages. Access further information via:

- ✓ [Information on Wages, Costs, Workplace Conditions and other Financial Information \(including incentives and assistance under the User Choice Program\)](#)
- ✓ [Employers Guide on payroll, wages, payroll tax, exemptions for QLD Apprentices and Trainees](#)

**Federal Government Incentives:** *\*dependent upon meeting all relevant eligibility criteria including being a: Australian citizen; NZ citizen living in Australia for more than 6 months / Permanent Resident - all relevant eligibility criteria are to be confirmed with ASSN prior to signup regards incentive eligibility*

- **'New' Worker** = Commencement: \$1,500 / Completion: \$2,500
- *\*NB: A 'New Worker' is defined as someone being employed in a Full-Time capacity for a period of under 3 months*
- **'Existing' Worker (if occupation on National Skills Needs List)** = Commencement: \$1,500 / Completion: \$2,500

**State Based User Choice Apprenticeship Eligibility Funding Criteria:** *\* all relevant eligibility criteria to be confirmed with ASSN prior to signup*

- Be at least 15 years of age
- Reside in QLD (with Employer's workplace being based in QLD) \*In, or entering into, Part-Time or Full-Time employment with an Employer (in the industry related area)
- Need to be an Australian Citizen / Permanent Australian Resident (or hold relevant Australian Visa) / or New Zealand resident (if living in Australia for over 6 months)
- Be in, or entering into, Part-Time or Full-Time employment with an Employer (in the industry related area) and cannot have completed a 'higher level' qualification in the past

For additional information on the above qualifications including DESBT Skills Assure Supplier (SAS) weblinks you may also like to access the information below which has information on funding and fee arrangements, how to enrol, support of disadvantaged students, apprenticeships, consumer protection and recognising skills. It also has information for employer relating to funding, payroll tax and rebate schemes which may be applicable:

- ✓ [User Choice information on funding, Incentives and Eligibility](#)
- ✓ [DESBT information for Employers and Students on Skills Assure](#)
- ✓ [User Choice Skills Assure Funding and Pricing Information](#)
- ✓ [Quick Facts about Apprenticeships and Traineeships in Queensland](#)

**For access to DESBT Apprentice Information Fact Sheets and Brochures for Students and Employers access:**

- ✓ [DESBT Apprenticeship and Traineeship Information Fact Sheets for Employers and Students](#)
- ✓ [Frequently Asked Question and Fact Brochures for Employers and Students on Apprenticeships and Traineeships in QLD](#)

**As a Skills Assure Supplier KTA must also abide by the following compliance program requirements in Qld:**

- **Strategic Audit Plan 2019 – 2022 (VET Quality Framework)**
  - [Queensland VET Quality Framework](#)

## NSW

### **Smart & Skilled Entitlement Apprenticeship Program Agreement with Training Services NSW**

KTA provides nationally recognised training packages with Training Services NSW for Komatsu services in the construction, transport and mining industries providing flexible, timely and efficient training packages in mobile plant and civil construction Apprenticeships as listed below under the NSW Smart & Skilled Entitlement EA Apprenticeship Program. ***\*Please note: This training is subsidised by the NSW Government.***

**All KTA NSW Smart & Skilled Approved Apprenticeships are “Fee - Free Apprenticeship” therefore there are no Student Contribution Fees.** Under the NSW government fee-free apprenticeship initiative, NSW apprentices that commence their training on or after 1 July 2018 may be eligible for fee-free training (first post school qualification). For eligible apprentices there will be no requirement to pay the fee. For further information please refer to the following links: [vet/fee-free-apprenticeships](#) and [Participant Eligibility Criteria](#)

### **KTA NSW Approved Smart & Skilled Apprenticeships:**

- **AUR30316:** Certificate III in Automotive Electrical Technology
- **AUR31216:** Certificate III in Mobile Plant Technology
- **MEM30205:** Certificate III in Engineering – Mechanical Trade
- **MEM30305:** Certificate III in Engineering – Fabrication Trade
- **RII30815:** Certificate III in Civil Construction Plant Operations *\*Not on National Skills Needs List - Federal Government Incentives only paid on candidates meeting ‘New Entrant’ criteria*

Where participants meet eligibility criteria and are enrolled as a ‘Apprentice’ or ‘Trainee’ under a ‘Smart & Skilled Contract’ – all training is free - no ‘Student Contribution Fees’ apply unless a specific Apprentice is excluded from eligibility. The participant (including Parent/ Guardian under 18 years old) and Employer will be notified as to the fee arrangement structure prior to time of enrolment. This will again be clearly identified by KTA at the time of enrolment, along with any specific eligibility evidence requirements and student declarations / signatures required.

A participant may or may not be eligible for ‘fee free training as subsidised by the NSW Government’. For further information on eligibility criteria you can refer to:

- ✓ [Find a Course - Search for NSW Government Subsidised Training](#)
- ✓ [Smart & Skilled - Qualification Prices, Student Fees and Subsidies](#)

#### **For Employers:**

- New Entrant Trainee and Apprentices – a 5.45% offset rebate on total payroll tax payable
- Apprentices Only – Workers Comp Insurance – Incentive Scheme – reduction on premiums
- Travel and Accommodation Allowance to attend Training– at least 120 Km return
- ✓ [State and Commonwealth funding information and other forms of assistance for Apprentice Employers](#)
- ✓ [Information on Financial Help available for eligible NSW Employers and Apprentices](#)

#### **For Apprentices:**

- New Entrant Trainee and Apprentices – Entitled to an Opal Concession Card
- Apprentices Only -\$100 rebate on Car registration
- ✓ [Information on Financial Help available for eligible NSW Employers and Apprentices](#)

**Federal Government Incentives:** *\*dependent upon meeting all relevant eligibility criteria including being a: Australian citizen; NZ citizen living in Australia for more than 6 months / Permanent Resident - all relevant eligibility criteria are to be confirmed with ASSN prior to signup regards incentive eligibility*

- **'New' Worker** = Commencement: \$1,500 / Completion: \$2,500 *\*NB: A 'New Worker' is defined as someone being employed in a Full-Time capacity for a period of under 3 months*
- **'Existing' Worker (if occupation on National Skills Needs List)** = Commencement: \$1,500 / Completion: \$2,500

**State Based Smart & Skilled Apprenticeship Fee Free Eligibility Funding Criteria:** *\* all relevant eligibility criteria to be confirmed with ASSN prior to signup regards incentive eligibility*

- Must be a permanent Australian or New Zealand resident (if living in Australia for over 6 months)
- Be at least 15 years of age and have left school
- Must be living and working in NSW and employed Full Time
- Must have proof of ID / DOB and valid ID at time of Enrolment. Must be registered as NSW Apprentice (or new entrant Trainee) have Smart & Skilled Entitlement Apprenticeship Training Contract Identifier (ie. be signed up by ASSN in an approved Contract as employed in NSW in the industry related area)

#### **Corporate Clients / Smart & Skilled NSW Participant Fees (if applicable)**

Any refund of course fees will be negotiated between KTA and the employer or agency. A fair and equitable refund policy will apply.

#### **Third Party Training (Third Party Service Arrangements)**

Where applicable, KTA's Participant Protection extends to training partners and training conducted by a third party on behalf of the RTO. Please note that KTA currently has an approved subcontracting Third Party Service Arrangements in place in NSW (as registered with ASQA) with Orbus3 (RTO 40761) for the delivery of training and/or assessment (only) for RII30815 Certificate III in Civil Construction in Plant Operations within the Illawarra Region. This will be workplace and mixed mode delivery with Orbus3 trainers based in the ACT.

## **Smart & Skilled Participants (NSW) – Consumer Protection Information**

Where participants meet eligibility criteria and are enrolled as a ‘Apprentice’ or ‘Trainee’ under a ‘Smart & Skilled Contract’ KTA will make available the following information via their website:

- Provider Consumer Protection Policy (including the details of the Consumer Protection Officer)
- Consumer Protection Strategy
- Contact Details of the Departments Customer Support Centre (in relevant region)  
[Smart & Skilled - NSW Customer Support Centre Contacts](#)

### **Training Services NSW**

Southern and South Western Sydney Region

Level 2 | 41-45 Rickard Rd | Bankstown NSW 2200 | PO Box 3515 | Bankstown NSW 2200  
(02) 8707 9600 / [TS.Bankstown@det.nsw.edu.au](mailto:TS.Bankstown@det.nsw.edu.au)

- For further information contact: [Smart & Skilled Consumer Protection Strategy](#)

### **Key topics include:**

- Participant Eligibility; Course Finder - Fee Arrangements
- How to Enrol; Support for Disadvantaged Students
- Apprenticeships and Traineeships
- Consumer Protection
- Recognising Skills
- NSW Fee Free Apprenticeship Initiative Strategy
- Find a Course - Search for NSW Government Subsidised Training
- Frequently asked Questions for Students re: Fee Free Apprenticeships and State and Commonwealth funding information and other forms of assistance for Apprentice Employers

For further information please refer to the following links:

- ✓ [Participant Eligibility Criteria](#)
- ✓ [Course Finder - Fee Arrangements; How to Enrol; Support for Disadvantaged Students; Apprenticeships and Traineeships; Consumer Protection; Recognising Skills](#)
- ✓ [NSW Government Fee Free Apprenticeship Initiative Strategy](#)
- ✓ [Find a Course - Search for NSW Government Subsidised Training](#)
- ✓ [Frequently asked Questions for Students re: Fee Free Apprenticeships](#)
- ✓ [State and Commonwealth funding information and other forms of assistance for Apprentice Employers](#)
- ✓ [Information on Financial Help available for eligible NSW Employers and Apprentices](#)

## **WESTERN AUSTRALIA**

Jobs & Skills WA Contractual Agreement with Department of Training & Workplace Development

KTA provides nationally recognised training packages in Western Australia for the following Apprenticeships and Traineeships under a Department of Training and Workforce Development (DTWD) WA Jobs & Skills Contract Agreement. Komatsu services the construction, transport and mining industries providing flexible, timely and efficient training packages in mobile plant, civil construction and business services courses as noted below.

*Please note: “The Student tuition fees are indicative only and are subject to change given individual circumstances at enrolment. Additional fees may apply such as student service and resource fees”*

### **For Employers**

- Apprentices – where the employer has a Payroll tax threshold of over \$ 950,000 – exempt from payroll Tax



- Apprentices – where the employer has Payroll tax threshold of under \$ 950,000 can access the Employer Incentive Scheme
- Travel and Accommodation Allowance to attend Training– at least 71km return
- ✓ [Useful Employer Guide on Payroll, Wages, Exempt Payments for Apprentices and Trainees](#)

**Federal Government Incentives:** *\*dependent upon meeting all relevant eligibility criteria including being an: Australian citizen; NZ citizen living in Australia for more than 6 months / Permanent Resident - all relevant eligibility criteria are to be confirmed with ASSN prior to signup regards incentive eligibility*

- **‘New’ Worker** = Commencement: \$1,500 / Completion: \$2,500 *\*NB: A ‘New Worker’ is defined as someone being employed in a Full-Time capacity for a period of under 3 months*
- **‘Existing’ Worker (if occupation on National Skills Needs List)** = Commencement: \$1,500 / Completion: \$2,500

**Student Contribution Fees:** *\*\$3.25 per Nominal Hour (as based on unit of competency) \*Same for both Apprenticeships and Traineeships- but calculated differently for each WA Region*

### **KTA WA Approved Apprenticeships / Traineeships**

**Apprenticeship: AUR31216:** Certificate III in Mobile Plant Technology

**Traineeship: BSB30115** Certificate III in Business / **RII30815:** Certificate III in Civil Construction Plant Operations

**Eligibility requirements (the same apply for both Apprenticeships and Traineeships):** *\* all relevant eligibility criteria to be confirmed with ASSN prior to signup regards incentive eligibility*

- must be an Australian Citizen (or hold a relevant Australian Visa or Permanent Residency)
- may be a New Zealand Citizen (if living in Australia for more than 6 months)
- be over 15 years of age
- must reside and work in WA
- be in, or entering into, Part-Time or Full-Time employment with an Employer in the same industry related area

### **WA APPRENTICESHIP: AUR31216: Certificate III in Mobile Plant Technology**

Effective from 1st January 2020, the WA Government has halved course fees for certain targeted vocational qualifications including: **AUR31216 Certificate III in Mobile Plant Technology**. This ‘Lower Fees/ Local Skills’ initiative means: Units of competency commenced by new or continuing students in these qualifications between 1 January 2020 and 31 December 2020 will attract the half price course fee. During this period, there will be an annual fees cap. The” annual fees cap” is:

- \$400 for concession students and people aged 15-24
  - \$1200 for non-concession students
  - Any units of competency commenced outside of this period will attract the regular course fees.
- \*\* For further clarification on fee caps for Lower Fees/Local Skills Program refer to your ASSN for further information based on the below concessional course fee cap criteria:**

### **People entitled to a concession course fee cap include:**

**LOWER FEES  
LOCAL SKILLS**

- All students aged **15—24\*\***
- Persons and dependents of persons holding: a pensioner concession card; a repatriation health benefits card issued by the Department of Veterans' Affairs; a Health Care Card; persons and dependents of persons in receipt of the Youth Allowance, AUSTUDY or ABSTUDY; dependents of persons who are inmates of a custodial institution or Secondary school-aged persons, not enrolled at

school \*\* **NB: Students aged between 18 –24 that do not fit into one of the other categories will be required to pay non-concession fee rates up to max \$400**

**WA TRAINEESHIP: RII30815: Certificate III in Civil Construction Plant Operations** \*Not on National Skills Needs List - Federal Government Incentives only paid on candidates meeting 'New Entrant' criteria

It is important to note that only a 'New Worker' that is someone who has been employed in a Full-Time capacity for a period of under 3 months will be eligible for funding under this Traineeship. 'Existing workers' entering into RII30815 will not be eligible for either State or Federal Funding. Effective from 1st January 2020, the WA Government has halved course fees for certain targeted vocational qualifications including: RII30815 Certificate III in Mobile Plant Technology. The 'Lower Fees/ Local Skills' initiative means that: Units of competency commenced by new or continuing students in these qualifications between 1 January 2020 and 31 December 2020 will attract the half price course fee. During this period, there will be an annual fees cap. The "annual fees cap" is:

- \$400 for concession students and people aged 15-24
- \$1200 for non-concession students
- Any units of competency commenced outside of this period will attract the regular course fees.

\*\* For further clarification on fee caps for Lower Fees/Local Skills Program refer to your ASSN for further information based on the below concessional course fee cap criteria:

**People entitled to a concession course fee cap include:**

**LOWER FEES  
LOCAL SKILLS**

- All students aged **15—24\*\***
- Persons and dependents of persons holding: a pensioner concession card; a repatriation health benefits card issued by the Department of Veterans' Affairs; a Health Care Card; persons and dependents of persons in receipt of the Youth Allowance, AUSTUDY or ABSTUDY; dependents of persons who are inmates of a custodial institution or Secondary school-aged persons, not enrolled at school \***Students aged between 18 –24 that do not fit into one of the other categories will be required to pay non-concession fee rates up to max \$400**

**WA TRAINEESHIP: BSB30115: Certificate III in Business**

**It is important to note that only a 'New Worker' that is someone who has been employed in a Full-Time capacity for a period of under 3 months will be eligible for funding under this Traineeship.** 'Existing workers' entering into RII30815 will not be eligible for either State or Federal Government based Incentives.

The BSB30115 Certificate III in Business is not part of the 'Lower Fees / Local Skills' Jobs & Skills WA Initiative. This Qualification is usually completed within 12 months. There will be a standard 'contribution fee' of \$3.25 per nominal unit which may be not applicable (if previous unit have been successfully completed and a Statement of Attainment submitted were credit transfers may be awarded as there are no charge for credit transferred units).

An 'Existing Worker' is defined as a person employed with the same employer continuously for more than three months full time or 12 months casual or part time or a combination of both, immediately prior to the commencement date of the training contract. Eligible existing workers may be subsidised to undertake traineeships at Certificate IV and above level courses that are aligned to state priority occupations.

For additional information on the above qualifications from the Government of Western Australia Department of Training and Workforce Development including Jobs and Skills WA weblinks you may also like to access the websites below which has information on specific funding and fee arrangements initiatives through the WA Government, how to enrol, support of disadvantaged students and further information on price course fees and recognising skills. It also has information for employer relating to funding, payroll tax and rebate schemes which may be applicable.

For further information please refer to the following links:

- ✓ [Lower Fees-Local Skills - Half Price Course Fees \(for AUR31216 and RII30815 only\)](#)
- ✓ [Jobs & Skills WA - Quick Weblinks and Course and Fee Information for Employers and Students](#)
- ✓ [DTWD Apprenticeship Office - General Information Frequently Asked Questions for Apprentices, Trainees and Employers](#)

## RECOGNISING QUALIFICATIONS AND PRIOR LEARNING

### UNIQUE STUDENT IDENTIFIER

The **Unique Student Identifier (USI)** scheme allows participants to access a single online record of their VET achievements. The online system provides each participant with a USI and allows for reliable confirmation of these achievements by employers and other RTOs. The USI scheme will provide a national online authenticated record of participants training attainment and will serve as a building block for a range of vocational education and training reforms. Over time, the ability of participants to access and share their training records will make enrolment processes more efficient for training providers and participants.

KTA will only issue a qualification or statement of attainment to a participant after the participant has provided a verified USI or KTA applies for a USI on behalf of the participant. To avoid any delays in issuing certification documentation KTA will ensure that participants USIs are applied for or verified USI at the time of enrolment. KTA will protect the security of all information related to USIs.

Security measures are in place to protect both digital and hard-copy records from loss, damage or un-authorized access. KTA stores paper-based records in locked cabinets. Digital records are backed up on a Cloud Assess system. All AQF certification documentation issued by KTA is kept for 30 years.

When reporting data about the training, each record of nationally recognised training that is provided to the national centre for vocational education research (NCVER) national VET provider collection will have a USI attached. This USI will be used to draw down on this data collection in real time. This means that participants will be able to access a record of all their VET achievements from one place. They can view this online and access an official transcript that they can attach to a job application, for example.

The USI will be increasingly useful when the data builds, KTA (with a participant's permission) will be able to draw down information about participants previous VET attainments in Australia. This will assist with assessing participant's admission to courses and in some circumstances, their eligibility for funding. Training providers will have access to an online information source to manage participant transfers between training providers, and the assessment of credit transfer and pre-requisites.

More information is available from the **Australian Government USI website**: <https://www.usi.gov.au/> where there is comprehensive information on the USI scheme for participants and for KTA staff as part of the Student Identifier Act 2014 and Data Provision Requirements 2012 under the Standards for registered Training Organisations 2015.

## **RECOGNISING QUALIFICATIONS FROM ANOTHER RTO**

KTA will recognise all AQF qualifications and statements of attainment issued by any other RTO. If any ambiguity is detected when validating a participant's certification, KTA will seek verification from the relevant RTO before recognising the qualification or statement of attainment.

Participants enrolling with KTA will be made aware of the recognition of qualifications policy by KTA staff at the time of enrolment to offer the opportunity of recognition of relevant qualifications or statements of attainment prior to the commencement of training. KTA trainers will remind participants of the policy progressively throughout the duration of their course. When a participant presents an AQF qualification or statement of attainment, a copy of the document will be taken and KTA will verify the authenticity of the qualification or statement of attainment prior to issuing any required credits.

The verified copy of the qualification or statement of attainment is placed in the participants file. Once verification of the qualification or statement of attainment has been established, KTA staff will inform the participant and offer exemption from the relevant unit(s) of competency. KTA staff will ensure the participant is aware of and understands what component(s) of their training and assessment are affected and will issue approved credit transfers in their training plan accordingly.

## **CREDIT TRANSFER**

Credit transfer refers to the transferral of academic credit obtained by participants through participation in courses or national training package qualifications with other RTOs, towards a qualification offered by KTA. Credit transfer is granted on the basis that the credit validates the participant's competency within the relevant qualification/unit of competence. Credit transfer of a qualification/unit of competence is available to all participants enrolling in any training program offered by KTA.

## **RECOGNITION OF PRIOR LEARNING (RPL)**

KTA appreciates the value of workplace and industry experience and recognises that participants will acquire vocational skills and knowledge from a variety of sources other than formal training. These skills are legitimate irrespective of how they were acquired and the Recognition of Prior Learning (RPL) process is designed to provide validation of such relevant skills.

RPL is an assessment process that assesses an individual's formal, non-formal and informal learning to determine the extent to which that individual has achieved the required learning outcomes, competency outcomes, or standards for entry to, and/or partial or total completion of a VET qualification.

In order to grant RPL, the assessor must be confident that the participant is currently competent against the endorsed industry or enterprise competency standards or outcomes specified in Australian Qualifications Framework accredited courses. The evidence may take a variety of forms and could include certification, references from past employers, testimonials from clients and work samples. The assessor must ensure that the evidence is authentic, valid, reliable, current and sufficient.

### **KTA Recognition of Prior Learning Process**

The recognition of prior learning (RPL) process will be offered to and explained to all participants.

Participants who believe they have already obtained current skills and knowledge that would otherwise be covered in the qualification/unit of competence for which they intend to study, should apply for RPL at the time of enrolment. The participant's skills and knowledge will be assessed and validated, and where appropriate, units of competency acknowledged, and face-to-face training reduced.

As part of the KTA enrolment policy, trainers will advise participants of the availability of RPL, explain what the process involves and how it relates to the attainment of the qualification in some circumstances. When relevant, trainers will remind participants of this option progressively throughout their time in training, in order to provide multiple opportunities for participants to engage in the RPL process.

When approached by a participant seeking RPL, trainers will provide the participant with a copy of *RPL Information for the Applicant* and *RPL Assessment Template* as well as information about the types of evidence that can be used to support an RPL application

### **RPL Fee**

The participant will be charged 50% of the scheduled course fee. This includes the initial application, consultation either in person or via phone with a suitably qualified assessor, the RPL assessment and (if successful) certification. Where the participant is not able to achieve the full qualification through RPL and gap training is required, a training plan and costing structure will be mutually agreed upon. The basis of the cost structure will be pro-rata on a unit by unit basis based on the scheduled course fee.

## **RECORDS**

KTA has a clearly documented quality administrative and records management system in place to secure the accuracy, integrity and currency of records, to keep documentation up-to-date and to secure any confidential information obtained by KTA and committees, individuals or organisations acting on its behalf.

Data is collected and stored in accordance with the processes outlined in this document and KTA record management procedures ensure timely and accurate records inform the continuous improvement processes of KTA. In addition, these records management procedures will ensure that all documentation providing evidence of compliance to the essential standards of registration is accurately maintained.

### **RECORD KEEPING PROCEDURES**

Upon enrolment, participant's details will be entered into KTA's database. This process initiates the establishment of the participant's individual file which is then used to record all future details pertaining to the participant. Documents pertaining to participants currently enrolled are stored in secure, individual participant files which are managed by KTA staff. The file is retained by KTA and management of the file will be in accordance with KTA's training records policy.

KTA will retain client records for a period of thirty (30) years. These records include:

- records of assessment results
- records of attainment of units of competency and qualifications
- copies of certificates and statements of attainment
- participant enrolments
- fees paid, and refunds given

KTA will also maintain records of staff profiles detailing qualifications and industry experience and other documentation necessary to develop, implement and maintain KTA's quality system. KTA will provide and store required record keeping forms (in alignment with required Standards for RTO's 2015) to the Third Party organisation – if the arrangement is under a Third Party Arrangement for the delivery of training and assessment. This information will include enrolment information (in alignment with the Student Identifiers Act 2014 and Data Provision Requirements 2012 (made under subsection of NVETR Act 2011) and required assessment records, and training evaluations (all in electronic format).

### **Completed Assessments**

Each and every assessment submitted by every participant will be retained for a minimum period of six (6) months. Individual participant records will be stored in a lockable steel filing cabinet in a locked secure office area.

At the expiration of six (6) months period, the participant's assessments will be scanned and stored electronically for 30 years. The electronic records are stored utilising AVETMISS compliant software and access is restricted by a password system.

### **Results of Assessment Records**

Participant assessment results will be recorded electronically in aXcelerate KTA's participant management system and will be retained for 30 years. This information may be used to provide annual competency completion reports and/or AVETMISS reports, as required and will provide sufficient information to re-issue the testamur, if required.

A copy of each testamur issued is scanned and retained in Adobe PDF format. If requested, the testamur may be re-printed at any time within the 30-year period after issue. This method ensures the original format, design, signature, date and units of competency are re-printed accurately and with a minimum of effort and expense.

### **AVETMISS Reporting**

AVETMISS stands for the Australian Vocational Education and Training Management Information Statistical Standard. It is a national data standard that ensures consistent and accurate capture and reporting of VET information about participants. The National Centre for Vocational Education Research (NCVER) is the custodian of the standard. KTA submits AVETMISS reports to NCVER annually which includes the following participant and training data:

- age, sex and other demographic information
- Indigenous and disability information
- geographic location
- type of provider (for example, government or private)
- location of training delivery
- enrolments in units of competency, as part of a qualification, and modules as part of courses
- how it was studied (for example, classroom, workplace or online)
- how it was funded
- the results obtained for unit/module (outcome)

Reporting is made under the authority of the Data Provision Requirements established by Training Ministers across Australia under the *National Vocational Education & Training Regulator Act 2020 (Cth)*

### **ACCESS TO RECORDS**

KTA has implemented Cloud Assess as a record management system that ensures that all participants have access to accurate information regarding their learning in a timely fashion. To ensure this, employees are informed of their responsibilities for record keeping and the process is monitored through the continuous improvement process and improved where necessary. This section outlines the data management procedures that support this records management system.

#### **Access to Participant Records**

Access to individual participant training records will be limited to those such as:

- Trainer and assessors to update the records of the participants whom they are working with
- management staff as required to ensure the smooth and efficient operation of the business
- officers of ASQA or their representatives for activities required under the RTO Standards

KTA trainers and assessors will maintain accurate and current records of each participant's progress and achievement of competencies in the area of their study. These records will be entered on KTA's student management system aXcelerate during training and assessment or immediately at the completion of training and assessment. As participants complete each competency, the trainer or assessor will check the achievements against the relevant qualification packaging rules and sign off successfully completed competencies. All details of full or partially completed competencies will be recorded and stored on the participants file.

Upon completion of all relevant competencies within a qualification, the participant will be entitled to receiving the full qualification. The Certificate and Statement of Results and/or Statement of Attainment will be produced and presented to the participant. A scanned electronic copy of all signed Qualifications issued will be converted to PDF format and secured in the participants file.

### **Participant Access to Records**

Participants have the right to request information about or have access to their own individual records at any time. KTA trainers and assessors or administration staff will provide the requested information or access either electronically, or in hard copy, via aXcelerate student management system records.

### **PRIVACY**

KTA considers participant privacy to be of utmost importance and will practice a high standard of care and concern in regard to maintaining participant privacy in all aspects of business operations. Any persons external to the organisation acting on behalf of KTA are made aware of the confidentiality procedures and privacy policies prior to commencing work with KTA.

KTA will comply with all legislative requirements including the Privacy Act 1988 (Commonwealth) and the Australian Privacy Principles (2014). Further information can be found by contacting the Office of the Australian Information Commissioner on 1300 363 992 or via: [Australian Information Commissioner Contact](#). KTA ensures no participant information is disclosed without the participants consent, except as required by law or in adherence to the Standards for RTOs. Participant consent must be obtained in writing from the participant, unless the participant is under the age of 18 years, in which case written consent from their parent or guardian must be obtained. Consent to disclosure of information forms and/or letters will be recorded.

Under the Data Provision Requirements 2012, KTA is required to collect personal information about participants and to disclose that personal information to the National Centre for Vocational Education Research Ltd (NCVER). NCVER will collect, hold, use and disclose your personal information in accordance with the Privacy Act 1988 (Cth), the National VET Data Policy (which took effect nationally from 1<sup>st</sup> Jan 2018 by the Department of Education), and all NCVER policies and protocols (including those published on NCVER's website at [www.ncver.edu.au](http://www.ncver.edu.au)). For more information about NCVER's Privacy Policy go to [NCVER Privacy Policy Information](#)

### **SECURITY**

KTA ensures further security of records by complying with the storage requirements detailed in ASQA's General directive: *Retention Requirements for Completed Participant Assessment Items, 22 June 2012 (amended 20<sup>th</sup> Feb 2013)*. This directive includes requirements for storage including: safeguards against unauthorised access, fire, flood, termites or any other pests, and to ensure that copies of records can be produced if the originals are destroyed or inaccessible. KTA enhances its compliance with this directive by protecting electronic files with up-to-date virus protection, firewall and spy ware protection software.

The Data Management System is Cloud based and offers the security and integrity expected of a reputable Cloud storage system. In addition, electronic records are copied to a portable hard drive, every four (4) week period. The portable hard drive is stored off site in a fire proof secure location. KTA software and hardcopy systems will retain participants results for a period of no less than 30 years. If requested, enrolment information, training and assessment information or results of assessment will be provided in electronic format wherever possible. Paper based records will be scanned and saved in Adobe PDF format and securely shredded every 12 months in accordance with KTA CEO's directions.

## **CEASING OPERATION**

In the event that KTA ceases to operate, its records will be transferred to ASQA in the appropriate format and detail as specified by the Department at the time of ceasing RTO operations. All other records including training records, taxation records, business and commercial records will be retained for a period of at least seven (7) years. KTA will ensure that any confidential information acquired by the business, individuals, or committees or organisations acting on its behalf is securely stored.

## **COMPLAINTS AND APPEALS**

KTA strives to ensure that each participant is satisfied with their learning experience and outcome. It is anticipated that issues of concern can be resolved by meaningful and respectful communication that is encouraged by KTA. In the unlikely event that this is not the case, all participants have access to rigorous, fair and timely complaint and appeal processes which are outlined in this section of the policy and procedures document.

KTA has a defined and transparent complaints and appeals process based on the principles of natural justice and fairness that will ensure participants complaints and appeals are addressed effectively and efficiently. KTA's complaints and appeals policy ensures participants and clients understand their rights and the responsibilities of the RTO.

Any complaints or appeals will be reviewed as part of the continuous improvement process and where corrective action has been highlighted, it will be implemented as a priority. This approach ensures that outcome of the complaints process provides a positive and constructive contribution to the operations of KTA.

### **COMPLAINTS**

A participant may lodge a complaint regarding the RTO; Third Party; Subcontractor; another participant or Trainer. There is also provision for all interested stakeholders to make a complaint if they feel aggrieved. For example, a Trainer may lodge a complaint against a participant.

A complaints procedure is available to all persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of KTA. The complaints procedure will address both formal and informal complaints. All formal complaints must be submitted in writing to KTA management and will be heard and addressed, including a response to the aggrieved person, within five (5) working days of receipt.

KTA management will maintain the complaints register to document the course of action and resolution of all formal complaints. All complaints substantiated by the complaints procedure will be reviewed as part of the KTA continuous improvement procedure.

It is the responsibility of KTA management to ensure adherence to the complaint procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting participants with the complaint's procedure and supply of complaint forms. Where the appellant remains dissatisfied with the outcome of the appeals handling procedure, the appellant is to be directed to the following external agencies:



- an independent agency or consultant within the VET sector
- The Office of Fair Trading in relation to consumer protection issues or the Australian Government Fair Work Ombudsman via: <https://www.fairwork.gov.au/>
- **National Training Complaints Hotline** on 133 873 or [www.employment.gov.au/national-training-complaints-hotline](http://www.employment.gov.au/national-training-complaints-hotline)
- **ASQAConnect** on 1300 701 801 or [www.asqa.gov.au/complaints](http://www.asqa.gov.au/complaints)

## APPEALS

The KTA appeals process is concerned with a participant's right to request change to decisions or processes of an official nature, usually in relation to academic or procedural matters.

In the case of a participant's appeal against specific assessment decisions, the participant should first discuss the decision(s) with the relevant trainer or assessor and request re-evaluation. The trainer or assessor will hear the participants appeal, make fair judgement to the best of their ability as to whether change(s) are required and then discuss their final decision with the participant.

If the participant is still dissatisfied with the trainer or assessor's decision, they have the right to take the appeal to the management team. The formal notice of appeal is required to comply with the following principles upon submission to management:

- the notice of appeal should be in writing, addressed to KTA for referral to the management team and submitted within five (5) days of notification of the outcome of the trainer or assessor's re-evaluation process.
- the notice of appeal must be submitted within the specified timeframe otherwise the original result will stand. If a participant's appeal needs to be deferred due to emergency circumstances, such as in the case of serious illness or injury, a medical certificate supporting the case must be forward to management. The notice of deferral must be submitted within three (3) working days of the conclusion date displayed on the medical certificate.

It is the responsibility of KTA management to ensure adherence to the appeal procedure and that resolution is sought in all reasonable circumstances. This includes informing and assisting participants with the appeal procedure and supply of appeal forms. All appeals will be reviewed at the monthly management meeting and, if appropriate, result in a continuous improvement process.

Where the appellant remains dissatisfied with the outcome of the appeals handling procedure, the appellant is to be directed to the following external agencies:

- An independent agency or consultant within the VET sector
- The Office of Fair Trading in relation to consumer protection issues or the Australian Government Fair Work Ombudsman via: <https://www.fairwork.gov.au/>
- **National Training Complaints Hotline** on 133 873 or [www.employment.gov.au/national-training-complaints-hotline](http://www.employment.gov.au/national-training-complaints-hotline)
- **ASQAConnect** on 1300 701 801 or [www.asqa.gov.au/complaints](http://www.asqa.gov.au/complaints)

## COMPLAINTS/APPEALS PROCEDURE

All persons wishing to make a complaint, appeal or any other manner of objection in relation to the conduct of KTA or any third party (such as other participants, outsourced trainers, subcontractors, staff, trainers, assessors) have access to the following procedure:

### **Informal Complaint/Appeal**

- an initial complaint or appeal will involve the participant communicating directly with KTA verbally or by other appropriate means.
- all persons identified or subject to a complaint will be notified in writing of the content of the complaint and/or allegation and afforded all-natural justice and procedural fairness response mechanisms
- KTA management will make a decision discuss their judgement with the participant and record the outcome of the complaint or appeal
- participants dissatisfied with the outcome of KTA's decision may initiate the formal complaint procedure

### **Formal Complaint/Appeal**

- it is normal procedure that all formal complaints proceed only after the initial informal complaint or appeal procedure has been finalised
- the formal complaint or appeal is to be submitted in writing, and the procedure and outcome recorded by KTA management
- on receipt of a formal complaint, the CEO or a nominated senior management person independent of the complaint will notify the complainant in writing that they have received the submission.
- the CEO will convene the complaint committee to hear the complaint
- the complaint committee will consist of a panel of members with no previous involvement or vested interest in the outcome of the particular complaint or appeal. Members of the committee should include:
  - a representative of KTA management
  - a KTA staff member
  - a person independent of KTA
- the complainant/appellant shall be given an opportunity to present the case to the committee and may be accompanied by one (1) other person as support or as representation
- staff member(s) involved shall be given an opportunity to present their case to the committee and may be accompanied by one (1) other person as support or as representation
- the complaint committee will reach a decision on the complaint or appeal after consideration of each case presented
- the complaint committee will inform all parties involved of the outcome in writing within five (5) working days of making the decision

All complaints and appeals will be reviewed at KTA monthly management meeting. Continuous improvement procedures may be actioned when the complaint/appeal procedure results in identification of factors appropriate for improvement to internal operations. When the initial causative factor of the complaint identifies a problem with current KTA policies and/or procedures, the continuous improvement procedure will ensure changes are made to prevent reoccurrence of the problem.

### **Delayed Processes**

In the unusual circumstances where a delay in the complaint or appeal process occurs, where longer than 60 calendar days are required to process and finalise the complaint or appeal, KTA will inform the complainant or appellant in writing. In line with the importance that KTA places on open and transparent processes and communication, the first written communication will be made at five (5) days. From that point, the complainants or appellant will be regularly updated on the progress of the matter. Including reasons why more time is required.

# LEGISLATIVE REQUIREMENTS

Registered training organisations are subject to legislation pertaining to training and assessment, as well as business practice. KTA will comply with relevant legislation and regulatory requirements and will inform all staff and clients of the requirements that affect their duties or participation in vocational education and training. KTA recognises that compliance with legislative requirements underpins the effective implementation of its operations and ensures accountability and transparency of activities of both management and staff.

## CURRENT LEGISLATION

Current legislation is available online at: <http://austlii.edu.au> and <http://legislation.gov.au>.

Examples of legislation relevant to VET Sector, its staff and participants includes but is not limited to:

### Commonwealth Legislation:

- Copyright Act 1968
- Commonwealth Privacy Act 1988 / Privacy Amendment (Notifiable Data Breaches) Act 2017 / Privacy Regulation 2013 / Australian Privacy Principles 2014
- Freedom of Information Act (FOI) 1982
- Modern Slavery Act 2018 (released 01.01.19)
- Commonwealth Discrimination Acts: Sex Discrimination 1984 / Disability Discrimination 1992 / Age Discrimination 2004 / Commonwealth Racial Hatred Act 1995
- Competition and Consumer Act 2010
- Legislation Act 2003
- Student Identifier Act 2014
- **National Vocational Education and Training Regulator Act 2011** which includes the following:
  - Standards for registered Training Organisations 2015
  - Data Provision Requirements 2012
  - Standards for VET Regulators 2015
  - Standards for VET Accredited Courses 2012

### VET Training Authorities/Regulators:

- National VET Regulator (NVR) - Australian Skills Quality Authority (ASQA) [www.asqa.gov.au](http://www.asqa.gov.au)
- Australian Government: Department of Education / Department of Education, Skills & Employment [www.education.gov.au](http://www.education.gov.au) / [www.employment.gov.au](http://www.employment.gov.au)
- Council of Australian Governments [www.coag.gov.au](http://www.coag.gov.au)

### QLD Legislation:

VET Specific Legislation is available from the: **Department of Employment, Small Business and Training (DESBT)** [Information for QLD Employers, Apprentices and Trainees on Funding, Incentives, Support and Resources](#)

- Further Education and Training Act and Regulations 2014
- Vocational Education, Training and Employment Act and Regulations 2000
- Wo Commission for Children and Young People and Child Guardian Act 2000
- Anti-Discrimination Act 1991 / Disability Services Act 2006
- Human Rights Act 2019
- Work Health and Safety Act and Regulations 2011

## **WA Legislation**

VET Specific Legislation is available from: **Department of Training and Workforce Development (DTWD)**  
[WA Legislative Framework Policies and Guidelines - including Support Fact Sheets and Contact Information](#)

- Vocational Education and Training Act 1996 (the VET Act)
- Vocational Education and Training (General) Regulations 2009
- Occupational Health and Safety Act 1984
- Occupational Health and Safety Regulations 1996

## **NSW Legislation**

VET Specific Legislation is available from: **Training Services NSW**  
[Rules and Regulation for NSW Employers, Apprentices and Trainees - including Advice and Support Information](#)

- Apprenticeship and Traineeship Act 2001
- Apprenticeship and Traineeship Regulation 2017
- Work Health and Safety Act 2011
- Work Health and Safety Regulations 2017

## **KTA LEGISLATION IMPLEMENTATION**

### **Work, Health and Safety Policy**

The Work Health and Safety Act 2011 outlines the requirements of an RTO in establishing and maintaining workplace health and safety standards. The requirements of an RTO as specified in the Act are to:

- secure the health, safety and welfare of employees and other persons at work
- eliminate, at the source, risks to health, safety or welfare of employees and other persons at work
- ensure that the health and safety of members of the public is not placed at risk by the conduct of undertakings by employers and self-employed persons
- provide for the involvement of employees, employers, and organisations representing those persons, in the formulation and implementation of health, safety and welfare standards

It is an obligation under legislation that all KTA employees and management contribute to and assist in maintaining workplace health and safety and risk management operations as part of their role within the RTO. KTA management is responsible for providing the following standards as part of its commitment to employees and clients:

- a safe workplace, with a safe system of work
- adequate workplace health and safety professional development for KTA participants, employees, management and stakeholders
- properly maintained facilities and equipment
- a clean, tidy, suitably designed workplace with the safe storage of goods.

KTA has initiated procedures, policies, guidelines and work instructions, practicing an ongoing commitment to workplace health and safety including each site used for training delivery.

The following procedures and standards are observed by KTA to achieve a safe working and learning environment:

- maintain a safe, clean and efficient working environment
- evacuation plan (fire, bomb, major incident)
- emergency control
- accident/incident reporting
- rehabilitation
- risk identification reporting
- PPE/chemicals (storage)
- manual handling techniques and training
- store and dispose of waste according to WHS regulations
- equipment checks and maintenance
- equipment safe storage
- fire hazards identified and fire prevention
- participant safety
- unsafe situations identified and reported
- first aid and safety procedures displayed, for all KTA staff and participants to see

### Harassment and Discrimination Policy

Under Australian law it is a requirement of every workplace to ensure it provides an environment free from all forms of harassment and discrimination, including victimisation and bullying. In doing so, all staff and participants are treated fairly and have the opportunity to feel safe, valued and respected.

**Discrimination** is where a person treats or proposes to treat, a person with an attribute less favourably than another person without the attribute is or would be treated under the same circumstances. Examples include but are not limited to discrimination by age, disability, employment, nationality, religion, gender and sexual orientation.

**Harassment** is any unwelcome and uninvited comment or action that results in a person being intimidated, offended, humiliated or embarrassed.

**Bullying** is any unwelcome and offensive behaviour that intimidates, humiliates and/or undermines a person or group. Bullying involves a persistent pattern of behaviour over a period of time and may include verbal abuse, physical assault, unjustified criticism, sarcasm, insults, spreading false or malicious rumours, isolating or ignoring a person, putting people under unnecessary pressure and sabotaging someone's work or their ability to complete their work.

At KTA it is made known that in the event that a person considers that he or she has been or is being harassed, this person should be encouraged to inform the other party that their behaviour is objectionable and should not be continued, provided they are comfortable with confronting the offender. In instances where the person is not comfortable discussing the matter with the offending party, a trainer or other KTA staff member should be informed of the situation. In this case it becomes the responsibility of the relevant staff member to follow KTA policy and procedures to rectify the situation.

The following principles and processes are implemented by KTA to achieve a working and learning environment that is free from harassment and discrimination:

- it is the right of all staff and participants to work and study in an environment free of any form of harassment and discrimination
- all reports of harassment and discrimination will be treated seriously, in an unbiased, respectful and sensitive manner. Any form of harassment and discrimination is considered unacceptable behaviour and will not be tolerated by KTA
- when KTA management is informed of any event involving harassment or discrimination, it is their responsibility to take immediate and appropriate action to address it
- in dealing with all complaints, the rights of all individuals involved should be respected and confidentiality should be maintained
- it is the intention of KTA management that a process of discussion, cooperation and conciliation will resolve all complaints. The aim is to achieve an acceptable outcome for the involved parties while minimising any potential damage to the organisation
- both the person making the complaint and the person against whom the complaint has been made will receive information, support and assistance in resolving the issue from KTA management
- victimisation is unacceptable and will not be tolerated; no person making a complaint or assisting in the investigation of a complaint should be victimised
- harassment or discrimination should not be confused with legitimate comment and advice (including constructive feedback) given appropriately by management or trainers. Managers and trainers should be conscious of how they present their feedback to ensure the message is not misinterpreted
- staff and participants should not make any frivolous or malicious complaints. All staff and participants are expected to participate in the complaint resolution process in confidence that the procedures are designed to ensure fair resolution

### Working with Persons Under 18 Years of Age

There is no single national framework setting out the requirements for obtaining Working with Children Checks or Police Checks. Each state and territory have their own procedures and it is necessary to fulfil the requirements in the jurisdiction(s) in which you are working. Relevant legislation and state and territory screening programs that operate in Australia are explained in

[Information on Pre-Employment Screening - Working with Children Checks and Police Checks](#)

In **Queensland** the *Working with Children Check (Risk Management and Screening) Act 2000 (Qld)* applies. Individuals are required to apply for a working with children check known as a “Blue Card”. Recent changes in QLD Blue Card system which will come into effect on 31<sup>st</sup> August 2020 mean has meant ‘No Card, No Start’ so you need to renew your blue card before it expires for you to keep working with children under 18 years old. Further information can be found by accessing: [Laws and Regulations relating to the issuance of Blue Cards in QLD - No Card No Start](#)

In **Western Australia** the *Working with Children (Criminal Record Checking) Act 2004 WA* applies. Individuals are required to apply for a working with children check known as a “Working with Children Check Card”.

In **NSW** the *Child Protection (Working with Children) Amendment (Statutory Review) Act 2018 NSW* applies. Individuals are required to apply for a child protection check known as a “Working with Children Check Card” and are also legally required to update contact details, within three months.

Participants under 18 years of age may enrol with KTA. According to the law, a child is considered any individual less than 18 years of age.

KTA management recommend that all staff obtain the appropriate pre-employment screening which is mandatory in those cases where staff are required to train children Information regarding Police checks and Working With Children Checks is available on the Australian Institute of Family Studies at <https://aifs.gov.au>.

KTA will ensure that all participants are protected from all forms of harm, including bullying, harassment, discrimination and intimidation. All staff are required to report to KTA management any behaviour that can reasonably be considered harmful or potentially harmful to participants, or where it is reasonable to believe that a participant has been harmed or requires protection from harm.

In cases where allegations or information indicate it is reasonable to believe a participant has suffered from or may require protection from harm, KTA will report to situation the relevent authorities.

## Consumer Rights

### Consumer protection

On 1 January 2011, the Australian Consumer Law commenced and the Trade Practices Act 1974 was repealed and replaced by the Competition and Consumer Act 2010. The Australian Consumer Law provides for:

- National Consumer Protection and Fair-Trading Laws
- Enhanced Enforcement Powers and Redress Mechanisms
- A National Unfair Contract Terms Law
- A new National Product Safety Regime
- A new National Consumer Guarantees Law

## Contractual Agreement

Participants who enrol in a training program with KTA should be aware that they are entering into a contractual agreement. With a view to ensuring all participants are fully aware of their rights and obligations, KTA will design agreements, enrolment forms, service agreements or similar using a logical format and simple English. This may include, but is not limited to:

- wording that allows the perspective participant to know what he/she is agreeing to
- clearly explained disclaimers
- no misleading or deceptive behaviour
- no actions, omissions or dialogue (written or verbal) that may force or coerce the participant
- fair dealings for disadvantaged participants

For more information on consumer rights, please refer to: [Consumer Law Information Resources and Guides](#)

## Privacy Principles

The *Privacy Amendment (Enhancing Privacy Protection) Act 2012* (Privacy Amendment Act) made many significant changes to the *Privacy Act 1988* (Privacy Act). These changes commenced on 12 March 2014. The Privacy Regulation 2013, made under the Privacy Act, also commenced on 12 March 2014.

The **Australian Privacy Principles** that are strictly applied to all aspects of KTA's operations include:

### Collection

KTA will only collect necessary information pertaining to one or more specific operations. The participant will be informed as to the purpose for which details are being collected.

### **Use and Disclosure**

KTA will ensure participant personal information is not used or disclosed for secondary purposes without obtaining explicit consent from the participant, unless a prescribed exception applies.

### **Data Quality**

KTA will take all reasonable measures to ensure that all participants' personal information that is collected, used or disclosed is accurate, current and complete.

### **Data Security**

KTA will take all reasonable measures to ensure all collected participants' personal information is protected from misuse, loss or damage, and that all data and record storage is secure from unauthorised access, modification or disclosure.

### **Openness**

KTA will maintain documentation which detail how participants' personal information is collected, managed and used. When a participant makes an enquiry in relation to information collected, KTA will explain what information is held, for what purpose it is held and what procedures outline the collection and use of information.

### **Access and Correction**

KTA will allow participants access to personal information held in all circumstances unless prescribed exceptions apply. If the participant identifies errors within the information, KTA will correct and update to file.

### **Unique Identifiers**

KTA will not assign participants unique identifiers except when it is necessary for efficiency of operations. Commonwealth Government identifiers, such as Medicare numbers or Tax File Numbers, will only be used for the purposes of which they were issued.

### **Anonymity**

KTA will provide participants the opportunity to interact with the business without requiring the participant to make their identity known in any circumstances it is practical and possible to do so.

### **Trans-Border Data Flows**

KTA privacy protection principles apply to the transfer of data throughout Australia.

### **Sensitive information**

KTA will request specific consent from a participant in circumstances where it is necessary to collect sensitive information. Sensitive information may include but is not limited to; information relating to a participant's health, criminal record, racial or ethnic background.

### **Copyright**

Provisions under Part B of The Copyright Act 1968 allow all educational institutions to copy and communicate third party material to distribute to participants, within the limitations of the Statutory Education license. The *Copyright Agency Ltd* (CAL) administers the *Statutory Education License* on behalf of the Attorney General's Department.

Any RTO electing to hold this license is legally allowed to introduce a wide variety of material into its training environment, both in hardcopy and digital format, without having to obtain direct permission from the owner.



The Statutory Education license facilitates compliance and good governance across the industry, while at the same time ensuring the freedom and flexibility of sharing information without infringing copyright legislation.

Without this license, an educational institution is generally not allowed to reproduce any third-party material from any source, other than where there is a direct license/subscription in place or permission has been granted by the creator of the work.

**Australian Skills Quality Authority (ASQA)** is the national regulator for Australia's vocational education and training sector. ASQA regulates courses and training providers according to the **Standards for Registered Training Organisations 2015** to ensure nationally approved quality standards for training are met.

### Vocational Education and Training Regulations

The VET Quality Framework is comprised of:

- Standards for Registered Training Organisations (RTO's) 2015
- Australian Qualifications Framework
- Fit and Proper Person Requirements 2011
- Financial Viability Risk Assessment Requirements 2011
- Data Provision Requirements 2012

The VET Quality Framework established and recently enhanced within the National Vocational Education and Training Regulator Amendment Act 2015 (in amendment to the National Vocational Education and Training Regulator Act 2011) includes:

- giving ASQA the power to audit an RTO at any time
- giving ASQA the power to apply sanctions (including applying conditions to, suspending or cancelling a registration)
- allowing providers to seek a review of ASQA decisions

Key changes from the National Vocational Education and Training Regulator Amendment Act 2011 include updated: registration processes for RTO's; processes for the accreditation of VET accredited courses; procedures for reviewing regulatory decisions; RTO compliance requirements and sharing and publishing information. For more information refer to: [ASQA - Changes to the NVR ACT 2011 and Supporting RTO Legislative Requirements](#)

*Standards for Registered Training Organisations 2015* form part of the *VET Quality Framework*, a system which ensures the integrity of nationally recognised qualifications. These Standards underpin the risk based regulatory system that aims to increase the confidence of participants and employers in the integrity of VET qualifications.

Other examples of changes to the NVR Act that affect RTO providers in enhancing compliance include:

- demonstrating a commitment and capability to delivering quality VET
- informing ASQA if an event is likely to occur that would significantly affect the RTO's ability to comply with the VET Quality Framework
- ensuring third party arrangements are undertaken with a written agreement in place
- providing information or VET student records to ASQA when an RTO closes or on ASQA's request, in a particular electronic or other specific format
- applying for internal review (reconsideration) where available, before seeking an external review (AAT).